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**MEASURING COLLABORATION IN CRIMINAL JUSTICE
PROBLEM SOLVING PROJECTS**

by

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in fulfillment of the requirements
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CHAPTER ONE

INTRODUCTION

The really important issues facing society – poverty, conflict, crime and so on – cannot be tackled by any single organization acting alone. These issues have ramifications for so many aspects of society that they are inherently multi-organizational. Collaboration is thus essential if there is to be any hope of alleviating these problems.

Chris Huxham (1996)

The September 11, 2001 attack on the United States was the most dramatic illustration of our need to rethink our current practices of working together. On September 12, 2001 people began to ask – how could this terrorist attack have happened to us? How could we have missed the warning signs? Who was to blame for this tragedy? The relationships among the governmental agencies with information were already strained (Cooper and Meyer, 2002) and were severely damaged as a result of the September 11th attacks. The public wasn't concerned about their relationship. They expected performance. Yet effective performance depended on a collaborative relationship that would put the safety of citizens above the needs and interests of any particular agency or person (April 26, 2004 Time, October 17, 2002 Joint Inquiry Hearing, June 5, 2002 Washington Post, May 26, 2002 Los Angeles Times). The attacks were partly a result of poor collaboration. Given the present unsettled state of our country, the public demands that our agencies collaborate with one another. And yet are we? Can we? If the answer to these questions is yes, then perhaps the most important question is - *Will collaboration be successful?*

Taking a closer look at the operational practices of a system provides a starting point for determining those factors and conditions that are most likely to increase the success of a collaborative problem solving effort. The criminal justice system provides a framework to conduct this exploration.

THE CRIMINAL JUSTICE SYSTEM

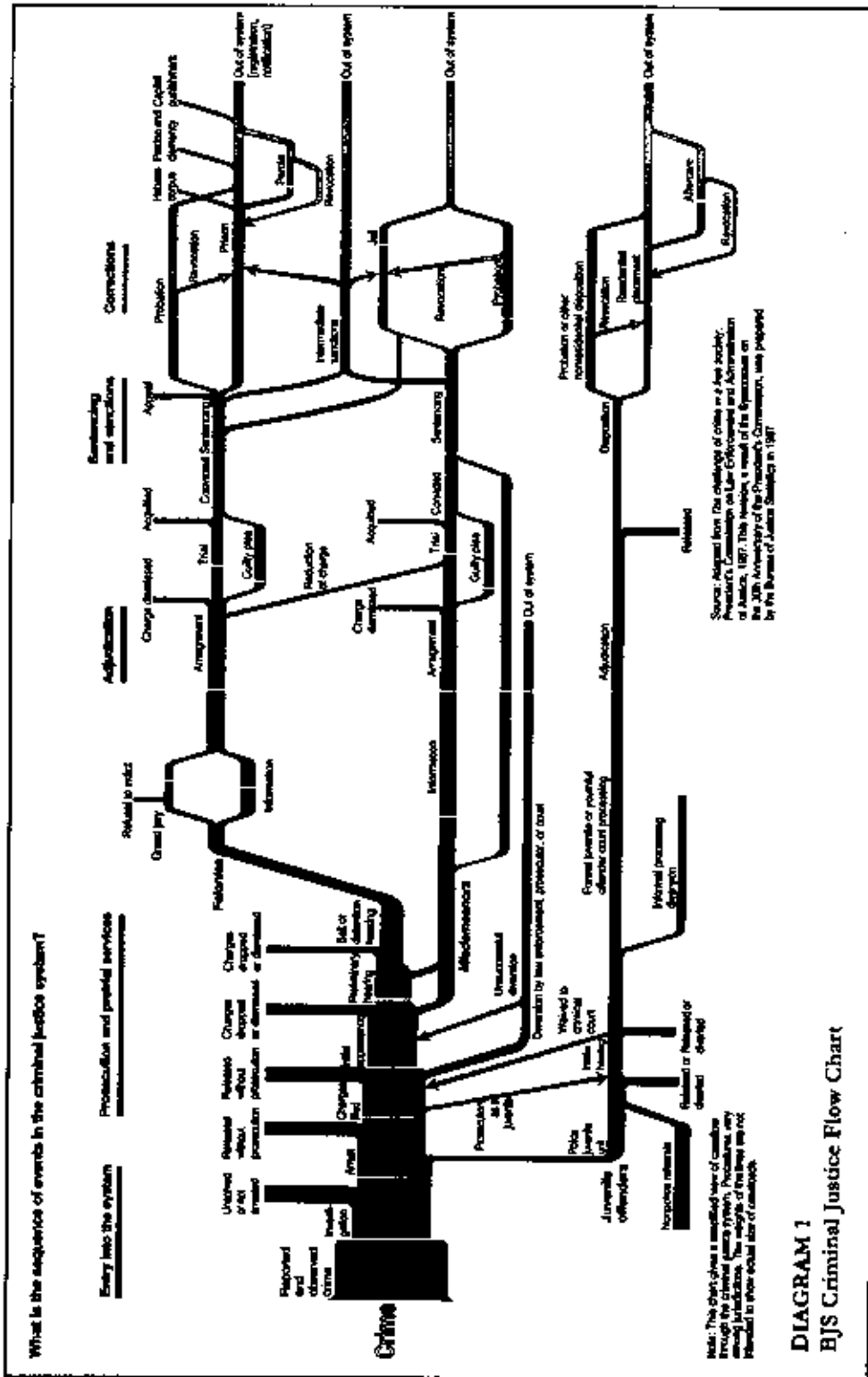
The criminal justice system is defined as all agencies set up to deal with different aspects of crime and the treatment of offenders (Albanese 2002). Agency representatives are experts in their field, complete with appropriate research to support their view of what causes crime and supports their individual approach to solving it (Poncellet 2001).

In the early part of the 20th Century in this country, criminal justice work seemed less complicated. Police arrested alleged criminals; prosecutors made charging decisions; the court process determined guilt or innocence; and judges decided what time was to be served. The person served the time and was released, in some cases under supervision of a probation or parole officer. Each agency had a job to do that seemed distinct to them (Kennedy 1998).

The criminal justice system has evolved over the last 100 years into an elaborate organism charged with the increasingly complex and major social problem of community safety (Leone et al., 2002, Crawford 1997, McEwen 1997, Garland 1990). The traditional view of the criminal justice system has remained a linear one as depicted in Diagram One. The Bureau of Justice Statistics (BJS) created this generic model of the criminal justice system that identifies the flow of people through the system and specific decision points.

However, the linear model does not reflect reality. This diagram provides a sense of the complexity of the system but can not capture the dynamic nature of system operations. For example, the same person is being served by several agencies and may start back through the system with a new offense before he or she has received the outcome for the first offense.

Components of the criminal justice system are inter-related. An offender will more than likely touch every component of the system from arrest through the jail, courts, and



community supervision. Experience and research have discovered approaches that seem to be effective in reducing crime and recidivism. This has introduced a plethora of new partners; mental health providers, social service agencies, the medical profession, victim service representatives, and others, each bringing their knowledge, practices, and biases with them (Kennedy, 1999; Crawford, 1997). Success in preventing and reducing crime is dependent on the ability of all the partners, new and old, to work in unison, to collaborate, in the performance of their work.

The lack of experience or opportunity in working collaboratively, coupled with the complexity of the system, has led some to view the criminal justice system as fragmented (McGarrell E. & Chermak, S., 2003; Rosenbaum, 2003; Lasker & Weiss, 2003; Leone P., Quinn, M., and Osher, D., 2002). It is believed that adopting a collaborative approach to work will create a seamless response to crime and community safety, thus reducing or eliminating the present system fragmentation.

THE CALL FOR COLLABORATION

Government is being called upon to create a seamless system by establishing collaborative partnerships. The new partnerships have forced a relationship with non-traditional partners such as not-for-profit agencies and grassroots organizations whose approach to solving problems is sometimes quite different from a traditional governmental approach to work. The Federal Government responded to this call by requiring collaboration among various groups including criminal justice agencies, community organizations, and victim advocates in their efforts to address public safety. Some examples of these types of initiatives range from Comprehensive Communities Program, Safe Schools/Healthy Students, and Weed and Seed (see Appendix A).

The goal of these initiatives is to support projects that promote collaboration, minimize duplication of efforts, and improve the scope and quality of governmental, private, and non-profit services within a community in addressing issues associated with crime. These initiatives illustrate that governmental agencies are being asked to work with other agencies, organizations, and people in new ways. They are being asked to change the way they work – to do it by collaborating with others.

The desire for agencies and organizations to work together more effectively is not a new idea. The call for collaboration has been growing steadily over the last 20 years (Burrell 2003; Crawford, 1997). Researchers and experts have believed for some time that problems can be solved more effectively by agencies and organizations collaborating on implementing solutions to shared problems. Successful collaboration can create an environment that breaks through existing thinking and action and may move people to risk working differently. (Lasker, 2003; Leone et al., 2002; Gray 1989; Swan & Morgan, 1983). Collaboration theory purports that "the collaborative effort is the primary method for achieving ideal short and/or long term goals that would not otherwise be attainable as entities working independently." (Gadja 2003) The challenge governmental agencies face though is that adopting collaboration as a way of conducting business is difficult under the traditional bureaucratic model.

INCORPORATING COLLABORATION INTO A BUREAUCRATIC SYSTEM

Webster (1990) defines bureaucracy as a "government characterized by specialization of functions, adherence to fixed rules and a hierarchy of authority." Bureaucracy is intended to enhance system efficiency by clearly defining and separating areas of responsibility and establishing a hierarchy of order (Weber 1947). This compartmentalized approach to conducting business is one of the principles of bureaucracy. It builds in the appropriate checks and balances necessary to manage a complex system. Bureaucracy expects departments to coordinate their efforts but still maintain their autonomy.

Many authors assert that the ability to collaborate is important because individual agencies, working independently, are not as effective as agencies working together to address the serious social issues of crime problems and enhancing community safety (Burrell, 2003; Leone et al., 2002; Kennedy, 1998; McEwen, 1997; Tolan & Guerra, 1994; and Kelling & Wilson, 1982). Collaboration requires a clear connection of the work between and among individual agencies. Collaboration is intended to close the system gaps created by the inter-relatedness of agencies, plus create a fluid system that blends agency actions in serving their clients and paves the way for developing a shared voice in serving our communities. The challenge facing governmental agencies is creating an environment that maintains the necessities of bureaucracy while incorporating the shared decision making dimensions of collaboration.

Community Policing and Community Justice, two relatively new criminal justice theories, reflect this blend of bureaucracy with shared decision-making through a collaborative approach to problem solving. Bob Trojanowicz describes Community Policing as . . . “a philosophy of full-service, personalized policing where the same officer patrols and works in the same area on a permanent basis, from a decentralized place, working in a proactive partnership with citizens to identify and solve problems” (Trojanowicz, 1998). The American Probation and Parole Association define Community Justice as “a strategic method of crime reduction and prevention, building and enhancing partnerships within communities.” Community justice policies confront crime and delinquency through proactive, problem-solving practices aimed at prevention, control, reduction and reparation of the harm crime has caused. Community Policing and Community Justice are intended to support a criminal justice system that creates and maintains vital healthy, safe and just communities as well as improve the quality of life for all citizens. Translating the theory into action is the challenge and opportunity for the criminal justice system.

BRIEF DESCRIPTION AND QUESTIONS ADDRESSED IN STUDY

This study explores the ability to adopt collaboration as a way of conducting business within a criminal justice context. It examines the experiences of four projects that use a collaborative approach to problem solving and were or have been in existence for at least 5 years. This study assesses the effect of collaboration on altering the way work has traditionally been conducted among these agencies and organizations. Particular attention is paid to the relationships among the key members of the project and the structure in which they conduct their work. Questions addressed within this study include:

- What are the conditions that affect the success or failure of collaboration? Are there combinations of conditions that make a difference? If so, how?
- What influences people to come together? To stay together?
- What ensures that the changes in work practices remain even though the players may have change?

Answers to these questions can add to our knowledge in answering broader questions facing governmental agencies. In general, is it possible for governmental agencies built on a bureaucratic model to be flexible enough to accommodate collaboration? Can the territorial walls

between public agencies be lowered enough to allow for sharing information and joint action? Can governmental agencies allow for shared decision-making and shared authority? Can they really adopt collaboration as a way of conducting work?

CHAPTER TWO

LITERATURE REVIEW

Unless the toolbox of ideas at the partnership table includes alternative perspectives and approaches, problem solving will continue to be "business as usual" in the public safety realm.

Dennis Rosenbaum (2003)

It is imperative for those working with others to solve a mutual problem to know what may cause their efforts to be derailed or what may enhance their chances of success. As has been illustrated, the Federal Government continues to invest time and resources into requiring local projects to collaborate on these mutual problems. They are certain that collaboration is the avenue to shift from single agency problem solving to multi-agency, multi-jurisdictional approaches to a complex issue – community safety. This study was concerned with identifying those conditions that appear to have the greatest effect on the adoption of collaboration as a way of working within the criminal justice system. The chapter is divided into three sections:

- Definitions of collaboration and how collaboration is delineated from terms that are closely associated with it.
- Collaboration challenges – external and organizational
- Examinations of evaluations that have been conducted on criminal justice collaborative problem solving projects. The examination is divided into two parts. The first part describes the process used to select the evaluations. It also briefly describes the selected evaluations and their research methods. The second part of this section presents their findings using the dimensions of collaboration as outlined in this study.

COLLABORATION DEFINED

Collaboration is a word that is used often and rarely defined. Webster (1990) defines it as "to work jointly with others or together especially in an intellectual endeavor." Academicians collaborate on papers. This may mean that they write different chapters. It may mean they assist in writing or that they may be the primary author with assistance. They may never meet or come together to do their work. Are they collaborating?

There have been numerous experts and researchers who have examined collaboration. Examples of some of their definitions and descriptions of collaboration are noted in Table One.

One of the key conditions that illustrate collaboration is a change in work practices. Swan & Morgan (1993) describe collaboration as "a radical departure from the traditional functions of independent and parallel agencies." Barbara Gray (1989) describes collaboration as a "process through which parties who see different aspects of a problem can constructively explore differences and search for solutions that go beyond their own limited vision of what is possible."

Collaboration requires individuals to act differently when they work together. Lasker & Weiss (2001) hypothesize that collaborative processes require empowering individuals, creating social ties, and creating a synergy that breaks through existing thinking and action. Adam Crawford (1997) notes that collaboration entails some degree of fusion and melding of relations between agencies. This requires interrupting normal internal working relationships. New structures and forms of work arise. Key organizations may relinquish some of their core professional duties and take on new ones.

Other definitions are less radical. David Chrislip & Carl Larson (1997) in *Collaborative Leadership* define collaboration as "a mutually beneficial relationship between two or more parties who work toward common goals by sharing responsibility, authority, and accountability for achieving results." Christianson Krentz & Maeers (1997), are very similar to Chrislip.

Huxham, C. (1996) <i>Creating Collaborative Advantage</i> .	Collaboration is the exchange of information, the altering of activities, the sharing of resources, and the enhancement of the capacity of another for the mutual benefit of all and to achieve a common purpose.
Christianson, H., Krentz, C., Mazers, M. (eds) (1997) <i>Recreating Relationships: Collaboration and Educational Reform</i> .	<p>Attributes of Collaboration:</p> <ul style="list-style-type: none"> • Collaboration implies interdependence and ongoing give and take • Solutions emerge through participants dealing constructively with differences. • Partners must work beyond stereotypes to rethink their views about each other • Collaboration involves joint ownership of decisions • Stakeholders assume collective responsibility for future direction of the domain • Collaboration is an emergent process; through negotiations and iterations, rules for governing future interactions are actually restructured.
Swan, W. W. and Morgan, Janet L. (1993) <i>Collaborating for Comprehensive Services for Young Children and their Families</i> . Paul H. Brookes Publishing Co.	Collaboration is a "radical departure from the traditional functions of independent and parallel agencies" characterized by: teamwork; mutual planning; shared ownership of problems; shared vision and goals; adjustment of policies and procedures; integration of ideas; synchronization of activities and timelines; contribution of resources; joint evaluation; and mutual satisfaction and pride of accomplishment in providing a quality and comprehensive service delivery system.
¹ Leone, P., Quinn, M., and Osher, D. (2002) <i>Collaboration in the Juvenile Justice System and Youth Serving Agencies Improving Prevention, Providing More Efficient Services, and Reducing Recidivism for Youth with Disabilities</i> .	<p>Requirements for collaboration:</p> <ol style="list-style-type: none"> 1. Organizational transformation; 2. Active consumer involvement at all levels; 3. Creation of a holistic system that is greater than the sum of its parts in meeting the needs of its constituency
Crawford, A. (1997) <i>The Local Governance of Crime: Appeals to Community and Partnerships</i>	Collaboration entails some degree of fusion and melding of relations between agencies. This requires interrupting normal internal working relationships. New structures and forms of work arise. Key organizations may relinquish some of their core professional duties and take on new ones.
David Christlip and Carl Larson <i>Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference</i>	Collaboration is as "a mutually beneficial relationship between two or more parties who work toward common goals by sharing responsibility, authority, and accountability for achieving results."
Barbara Gray. <i>Collaborating: Finding Common Ground for Multiparty Problems</i> . San Francisco: Jossey-Bass 1989 pg 5	Collaboration is a "process through which parties who see different aspects of a problem can constructively explore differences and search for solutions that go beyond their own limited vision of what is possible."

TABLE ONE: Definitions and Descriptions of Collaboration

and Larson. They include joint ownership, collective responsibility, and rules for governing interactions in their discussion of the attributes of collaboration.

Collaboration is a philosophy that moves beyond structured problem solving and creates an environment where all parties share in the success and failure of the work, and are committed to open and direct communication and decision-making (Gajda, 2004). Conflict is addressed and resolved and authority is shared. Work is done differently. An altered organizational structure is created. The altered structure involves overlapping or as Crawford says "melding" of relations between agencies. There is mutual benefit for all agencies and organizations.

This study chose to use an existing definition of collaboration. The definition offered by Mattesich, Murray-Close & Monsey (2001) definition was selected because they have done extensive work in the area of collaboration and because of their close association with the Amherst Wilder Foundation, a pioneer organization in collaboration work. For this study, collaboration is defined as:

"a mutually beneficial and well-defined relationship entered into by two or more agencies and organizations to achieve a common goal."

The dimensions of collaboration were modified for this study and are: a commitment to a shared vision and goals; a jointly developed structure and shared responsibility; mutual authority and accountability for success, open and direct communication, and a trusting relationship. This means the people working on the project:

- Jointly define the purpose and are committed to work as a team;
- Review the existing system structure and incorporate interrelated roles and responsibilities;
- Balance authority and assume mutual accountability;
- Establish and maintain formal and informal methods for frequent and flexible communication; and
- Build trusting relationships by surfacing conflict, discussing it, and coming to a resolution.

One of the challenges to studying collaboration is that people often use the word but do not understand the true meaning. Collaboration is often used interchangeably with cooperation and coordination which have slightly different meanings. Matesich et al. (2001), delineate the terms using these descriptions:

Cooperation is characterized by informal relationships that exist without any commonly defined mission, structure, or planning effort. Information is shared as needed, and authority is retained by each organization so there is virtually no risk. Resources are separate as are rewards.

Coordination is characterized by more formal relationships and an understanding of compatible missions. Some planning and division of roles are required, and communication channels are established. Authority still rests with the individual organizations, but there is some increased risk to all participants. Resources are available to participants and rewards are mutually acknowledged.

Collaboration connotes a more durable and pervasive relationship. Collaboration brings previously separated organizations into a new structure with full commitment to a common mission. Such relationships require comprehensive planning and well-defined communication channels operating on many levels. Authority is determined by the collaborative structure. Risk is much greater because each member of the collaborative contributes its own resources and reputation. Resources are pooled or jointly secured, and the projects are shared.

Collaboration is not just meeting together, nor is it just planning together" (Leone & Osher, 2002). It is a philosophical approach to working – a belief that working together will produce better results than working alone. Cooperation and coordination have worked in the traditional bureaucratic system but instituting collaboration has been more difficult. Collaboration moves beyond structured problem solving and creates an environment where all parties share in the success and failure of the work undertaken, and everyone involved is fully committed to open and direct communication and decision-making (Gadja, 2004). Conflict is addressed and resolved and authority is shared.

Collaboration is difficult to study and it is also difficult to implement. It requires time and it more than likely requires a change in working practices. Challenges to collaboration come from within and outside of each agency and organization involved with the joint problem-solving project.

CHALLENGES WORKING WITH EXTERNAL PARTNERS

There are concerns about collaboration and its purported advantages. One of the first and often less discussed challenges is a power imbalance when agencies come together to jointly solve a problem. The collaborative effort may not succeed because of this imbalance and members inability to resolve it, either because of lack of training or possibly due to conflict avoidance. (Coggins, 1998; Britell, 1997; Crawford, 1997; Moldavi, 1996 and McCloskey, 1996). It may also be impossible to get past philosophical differences even without overt conflict and, as has been stated, a shared vision and agreement on the solution is a key ingredient for successful collaboration.

Even if parties agree to collaborate on decisions, McCloskey (1996) asserts that collaborative groups can not produce the best decisions because only the lowest common denominator solutions survive. He believes this occurs due to complacency. "Since most people do not like conflict, they buy into the idea of collaborative partnership. If people are convinced that compromise achieved through collaboration produces the best solutions, it may reduce the incentive to look for other alternatives. There may be more politically difficult solutions that are better for the environment that are not considered. Collaborative groups provide a safe alternative to crisis by holding off an inevitable crash." An unfortunate outcome of complacency or this conflict avoidance is the lack of courage to ensure partners comply with agreements and commitments, since the collaborative arrangement usually carries no authority.

ORGANIZATIONAL CHALLENGES

The challenges of adopting collaboration as a way of working extend beyond external partners and surface within each agency and organization. Collaboration requires the culture of the organization to change – to be flexible and responsive to the environment and needs of the communities that they serve.

In their book, *Reinventing Government*, Osborne and Gabler (1992) recommend “overthrowing bureaucratic malaise and creating a more responsive and flexible government ... to think outside of the box”. This is one of the biggest internal challenges to changing the way business is conducted within government agencies because this struggle is created by all levels within the agency. This struggle to change is again discussed in Peter Senge’s book *The Fifth Discipline*. Senge (1990) calls for creating organizations that clearly understand threats and recognize new opportunities. Senge stressed that our thinking creates a lot of our problems. His premise emphasized that attempting to understand the future by relying on the past only forces the solving of problems in the same way over and over again. This approach has been both a challenge and practice in the criminal justice system.

Chris Argyis (1990), an organizational development researcher, points out that, even with the commitment and acknowledgement to do it differently, there will be a challenge. Argyis’s premise is that teams that function quite well with routine issues will shy away from confronting issues that may appear threatening to the group or affect the spirit of the team. He argues that most managers find collective inquiry inherently threatening and that, even if they did inquire, this behavior is not reinforced or supported by others on the team, in leadership positions, or as an accepted organizational norm. This finding is very significant where community initiatives depend on teams that can truly come together and work in new ways, forging new relationships, and solving complex problems. The effect may be even more dramatic when members are added to the teams that are outside the regular cast of characters, thus compounding a tendency to maintain a status quo. The other challenge to doing business differently is Argyis’s double loop learning theory (1985). Double loop learning allows people to question if their actions or way of doing business is consistent with what they say they are doing because often the two do not match.

COLLABORATION RESEARCH AND EVALUATIONS

As mentioned previously, one of the pioneers in exploring collaboration was the Amherst H. Wilder Foundation. Their first publication about collaboration appeared in 1915. This dedication to understanding and examining collaboration led to two meta-analyses conducted by Mattesich, Murray-Close, and Monsey in 1992 and repeated it in 2000. This analysis involved 133 studies in 1992 and an additional 281 in 2000. Their comprehensive work resulted in the identification of six categories and 20 factors that they believed influenced successful collaboration.

The work conducted through the Amherst Foundation provided an exhaustive look at those factors that influence successful collaboration. As they admit, it does not indicate which factors may be more influential than another. It is not evidenced through their work if a factor by itself can be responsible for successful collaboration or if any are more critical than others. The work only identifies the most common factors that appeared in the studies they reviewed. All the factors are important, but the Wilder study does not indicate if some are more critical to the success of a collaborative effort than another.

The topic of collaboration continues to be explored by researchers. Lasker, Weiss and Miller (2001) in their article entitled *Partnership Synergy: A Practical Framework for Studying and Strengthening the Collaborative Advantage*, use the term 'synergy' to describe successful collaboration. They cite resources, relationships (trust, respect), appropriate representation, and a governance structure as the determinants of partnership synergy.

Dennis Rosenbaum (2003), a noted criminal justice researcher, after reviewing literature on partnerships and examining two Federal initiatives (Weed and Seed and Comprehensive Communities Program) postulates similar themes as Lasker. He acknowledges the importance of trust. He stresses the need for high-level commitment, which in a sense is appropriate representation. He adds a shared vision and sufficient resources to the requirements for collaboration.

Lane and Turner (1999) explored interagency collaboration issues in juvenile justice through a literature review on the subject and then by illustrating the findings through actual programs occurring in the field. Their findings support Rosenbaum's claim regarding a shared vision and Lasker's governance model described as clear roles and policy guidelines. They added the need for multiple layers of participation and a clear leader as prerequisites for collaboration.

Another study, "*Understanding Community Justice Partnerships: Assessing the Capacity to Partner*" (Roman, Moore, Jenkin and Small, 2002) was undertaken to synthesize the literature regarding community organizations ability to work collaboratively with criminal justice agencies. These researchers found that partnerships are more likely to succeed when there is a clear and shared vision and a clearly defined work plan. They also surfaced the importance of open and regular communication.

The question to be explored through this study was "can the criminal justice system adopt collaboration as a way of working?" More specifically, what assists or inhibits collaboration? The focus of the literature review sought to find out from the research that had been conducted in the criminal justice field what had been learned regarding collaboration and if particular areas of collaboration were more significant than others.

This was done by reviewing criminal justice evaluations of system-wide collaboration problem solving projects. In the criminal justice field, the measurement for success is most often reduction in crime, not how well agency representatives worked together. This means most evaluations will not focus solely on collaboration. Most, however, will conduct some analysis of collaboration as part of the assessment of the entire project.

There was an initial screening of the evaluations that were conducted for the Department of Justice, Office of Justice Programs, from 1994 -2003, to ascertain which ones would be applicable to the study of collaboration. The first step in this exploration was establishing the criteria for selecting those evaluations most relevant and useful for this study and for surfacing collaboration factors.

The initial criteria for selection included:

- The goal of the initiative had to require 2 or more agencies and organizations to collaborate. This requirement would insure some attention in the evaluation to the ability of the project members to work together.
- Projects that instituted a specific program were not considered because the evaluations were more likely to focus on the effect of the strategy on reducing crime e.g. drug courts, mentoring programs.

The evaluations that did not meet the criteria were eliminated. It was discovered toward the beginning of the more in-depth review an additional selection criterion would be required:

- Victim Centered Initiatives were not considered. Usually these topics are emotionally charged so the results describing the ability of the project members to work together could be distorted. Domestic violence and child maltreatment work involves advocacy agencies that speak for those not in positions to do this for themselves. Members of these agencies may have difficulty separating their commitment to the issue they represent from collaboration with those agencies they see as part of the problem. This creates a dynamic among the members that is not as prevalent in other types of projects. This dynamic would more than likely influence the project member's ability to work as a team.

Additionally, multi-site evaluations were preferred over single site evaluations. Multi-site evaluations compared projects that were funded by the same Federal government Initiative. This means they had the same original planning and operational requirements and allowed for cross-site comparisons.

Evaluations that looked at success in implementing a system-wide solution were reviewed for this study. This examination included a review of the research goals, the methodology, and what they learned about collaboration. Descriptions of the initiatives are listed in Table Two.

Study	Description	Date of Evaluation
The Strategic Approaches to Community Safety Initiative (SACSI)	A multi-agency, strategic planning approach to crime reduction that promotes collaboration and integration of research into problem-solving partnerships.	2002
The Weal and Seed Initiative	A collaborative effort between Federal, State, local governments and communities to improve the quality of life within targeted areas.	1995 & 1999
The Comprehensive Indian Resources for Community and Law Enforcement (CIRCLE) Initiative	An initiative to accelerate coordination with the Federal government, promote inter-tribal interactions, and develop a community safety plan	2002
The Indian Country Justice Initiative (ICJI)	A program to strengthen the justice systems serving Indian Country by enhancing the working relationships among participating government entities.	1999
The Criminal Justice Systems Project (CJSP)	The goal of the program was for local jurisdictions to work collaboratively in developing an effective system of sanctions.	2001
Measuring Community Building: Involving the Police: The Final Research Report of the Police-Community Interaction Project (PCIP)	The intention of the study was to "identify general neighborhood strengthening processes and then to ask how the police might connect with these.	
Locally Initiated Research Partnerships program (LIRP)	LIRP was intended to support and encourage partnerships between research organizations and police as part of local community policing efforts.	2003
Tribal Strategies against Violence (TSAV) Initiative	The TSAV initiative was designed to empower American Indian Tribes to improve the quality of life within their communities by fostering strategic planning and by developing partnerships.	2002
The Indianapolis Violence Reduction Partnership project (IVRP)	A multi-agency collaborative effort to reduce homicide and serious violence	2003

TABLE TWO: Selected Initiative Evaluations

Coldren, Costelle, Forde, Roehl and Rosenbaum conducted an assessment of SACSI in 2002. Their assessment goal was to measure partnership development and problem-solving implementation approaches to see if they were using data to assist them in making decisions. They used several methods to gain information for their case studies. During their site visits they conducted interviews with members of the project team and administered a partnership survey that focused on the participant's perception of progress,

success and satisfaction. The survey was administered twice – once near the beginning of the project and once a year later. There was also ongoing observation of meetings. The survey results suggested that feeling good about the partnership did not necessarily translate into being satisfied with the project.

Two separate evaluations of Weed and Seed projects were conducted; 1999 (Dunworth & Mills) and 1995 (Roehl, Huitt, Wycoff, Pate, Rebovich, and Coyle). Researchers for both projects conducted process evaluations that involved review of project documentation, crime analysis, and on-site interviews. The researchers found that the relationship between the governmental entity and the community was critical. They discussed the early involvement by the community, the importance of trust, and sharing authority as key elements for success.

Brimley, Garrow, Jorgensen and Wakeling (2002) completed a participatory process evaluation of Comprehensive Indian Resources for Community and Law Enforcement (CIRCLE) Initiative. Tribal members and federal agencies participated in the design and data collection used to develop a logic model. The success of this project was measured primarily by the success of the implemented programs. The researchers did find that people were more likely to stay at the table if they were committed to the outcome of the project.

Lujan, Riding and Tsosie (1999) completed a process evaluation of the Indian Country Justice Initiative (ICJI). Their evaluation focused on the ability to create a continuum of operations and services between agencies that could strengthen justice systems. Semi-structured interviews were conducted with people involved with the project. The researchers used the snowball technique of sampling to build their contact list for interviewing people in the community. They gathered information from youth through the use of focus groups. One of their significant findings was that the effect of world views: the Anglo-American justice system focuses on procedural compliance as a means of establishing fairness and credibility; indigenous justice systems require problems to be handled holistically. Justice can not be compartmentalized into stages. All affected parties need to be involved in the resolution of the problem.

Weller, Martin, Price, and Wagenknecht-Ivey (2001) completed a process evaluation of the Criminal Justice Systems Project (CJSP). Their principal evaluation objective was to examine the ability of each policy team to work collaboratively in developing building the capacity to create system-wide change. A Collaboration Survey was administered using the classification categories developed by David Chrislip and Carole Larson (1994). The survey was administered twice – 14 months into the project and then again during the 30th month. They also conducted interviews, observed meetings, and reviewed project documents. They found that the factors for successful collaboration included a clear plan, a clear sense of progress and accomplishments, effective task and process leadership, good data, and the building local capacity.

The Police-Community Interaction Project study, conducted by Duffee, Scott, Chermak, McGarrell and Renauer (2001) used a combination of methods to defining the dimensions of police-community interactions and fine-tuning the measurements of these dimensions to assist in enhancing community policing. One of the community building dimensions they examined was “steps for coordinating organizations.” The areas they examined were the number and types of organizations involved in the project, the frequency of communication, and the protocols for conducting business, decision-making patterns, and avenue for resources. The researchers discussed the difficulty measuring coordination because of the difficulty of tying it to specific behaviors and activities.

McEwen, Conners, Spence and Bynum (2003) used an action research model to evaluate the Locally Initiated Research Partnerships program (LIRP). Their evaluation focused on the ability of projects to develop partnerships between research organizations and police. Their findings of the factors that affect successful partnerships again repeat similar themes - establish effective working relationships and develop trust. They also found that it is important to tailor your approach to the needs of the local audience.

Nichols, Litchfield, Holappa and Van Stelle conducted a cross-site process and impact evaluation in 2002 of the Tribal Strategies against Violence (TSAV) Initiative. Their evaluation analyzed the differences in culture and governmental structure and how this affected implementation of programs and services. Their field research included interviews,

analysis of crime data, and a survey of stakeholders. Findings suggest that it was difficult to work on collaboration because the focus from the federal government was more on implementing proven strategies within the project's community. The researchers did find evidence of strengthened relationships as illustrated by the formation of coordinating councils that intended to continue after the project had officially ended.

These studies, to various degrees, captured data regarding the effect of collaboration on the work of each project. SACSI and CJSP used a collaboration survey, which was administered twice during the life of the projects. The SACSI survey focused on the perceptions of key members of the project regarding how satisfied with the project more than measuring indicators of collaboration. The CJSP survey contained 39 attitudinal statements grouped into eight categories. It is not clear if the interviews were used to clarify the findings of the survey. The other evaluations gathered their data through interviews, observation of meetings, and review of project documents.

The studies were evaluating whether each project fulfilled the mandates of the initiative that included collaboration as part of the mandate. Most often, the primary focus of the evaluations was the projects ability to make a difference in crime results. The studies provide useful information in this regard. Most of the studies, however, did not define collaboration or delineate the difference between words like cooperation, coordination, and partnership. The one study, CJSP, that did define the indicators of collaboration, did not appear to delineate the difference between collaboration and other words such as coordination.

SUMMARY OF FINDINGS

The findings of the criminal justice studies were examined for evidence of the dimensions of collaboration identified in the literature: a shared vision and goals; a trusting relationship; a jointly developed structure and shared responsibility; open and direct communication; and mutual authority and accountability.

DIMENSION: SHARED VISION AND GOALS

The basis for collaboration is rooted in the necessity of a shared vision – a single voice for the criminal justice system (Weller 2001). It has been demonstrated that collaboration is more likely to succeed when the intentions are clear and agreed on by the involved parties (Roman et al., 2002). When the partners develop a vision together they all have a stake in its success and this ensures it is of value to each participating member. Brimley (2002) states “Common, well understood, deeply shared project goals are valuable because they serve as organizing principles, ultimate objectives, and a means of keeping participants’ eyes on the prize.” Having a shared vision and goal helps keep the work stay on track.

DIMENSION: A TRUSTING RELATIONSHIP

“Trust” seems to be the word that appears most often in the literature as having the strongest positive effect on breaking down the walls between members of the collaborative group, freeing them to be more responsive to new possibilities and to developing new relationships with partners (McGarrell & Chermak, 2003; McEwen et al., 2003; Coldren et al., 2002) . Approaches to the work at hand and changing one's attitude cannot happen if the topic cannot be discussed openly. Weller (2001) found that “Where teams did not have healthy group dynamics or a high level of trust or respect for members, they didn't want to confront personal or systemic biases and prejudices.”

Trust also enables members to feel free to speak candidly about issues without fear of reprisal (McGarrell & Chermak, 2003). As in any field, turf issues often exist either because the people involved do not trust each other, or because they don't see the other agencies as having the expertise to work with them, or even that they may not feel the need to work with them (Roman 2002). This obviously could prevent or delay the building of a collaborative partnership.

Looking at this situation another way, several studies cite that a long history of distrust between the partners has led to polarization between the various members of the partnership (McGarrell & Chermak, 2003; Rosenbaum, 2003; Lujan et al., 1999; Roehl,

Hunt, Wycoff, Pate, Rebovich, and Coyle, 1995). A classic example is the historical distrust between Indian Nations and the Federal Government. Lujan states "Time and time again, community members expressed a deep-seated distrust of the Federal Government."

Polarization also surfaced in evaluations involving police and communities (McGarrell 2003; Roehl et al., 1995). Weed and Seed projects require police to work in neighborhoods that have crime problems affecting quality of life issues. People living in these neighborhoods may have a negative perception of police, and hesitate to believe that "weeding" (weeding out crime using primarily law enforcement strategies) will improve their living conditions.

Lack of trust was also a challenge for law enforcement and researcher's projects (McEwen et al., 2003; Coldren et al., 2002). Researchers are seen as outsiders and their motives are questioned. Law enforcement can be reluctant to release information because they lack assurance on how it will be used. Several strategies for building trust were mentioned from "paying your dues" (McEwen 2003) to obtaining an understanding of the other person's organization and culture (Coldren 2002). Time spent building trust aided participation.

It is important to note that respect, understanding and trust are not interchangeable. One could understand another's position but not trust or respect that person. Equally, one may respect or trust someone without necessarily understanding them.

DIMENSION: A JOINTLY DEVELOPED STRUCTURE AND SHARED RESPONSIBILITY

There were several themes that surfaced as a result of the examination of structure and responsibility: the cross section of members; development of clear roles and policy guidelines; decision-making; and the role of the coordinator.

Numerous evaluations discussed the significance of having members who are active participants and provide resources to the project. Having the right people at the table (Roehl et al., 1995) and the right number of people (Weller et al., 2001) is essential for

collaborative efforts to be successful and sustained and is the first challenge facing these types of efforts. The introduction of additional systems - mental health, social service agencies, the medical profession, victim services and others - creates additional partnership layers, each bringing their knowledge, practices, and biases with them. This diversity will more than likely make the groups less cohesive (Coldren et al., 2002). Discussion evolved around the challenge of creating multi-agency and multi-discipline project teams with people who may or may not have worked together previously, who have different opinions regarding what prevents crime, and then expecting them to collaborate.

The divergence of opinions makes conflict unavoidable and commitment to collaboration a challenge. Smaller, less diverse groups would find it easier to make decisions but often lack the breadth of experience gained from a larger and more diverse group. (McGarrell et al., 2003; Nichols et al., 2002; Dunworth, et al., 1999). Dennis Rosenbaum says "A partnership's greatest strength is also its greatest weakness, namely diversity of agencies and constituencies represented and therefore the diversity of views and orientations to social problems that must be negotiated to reach decisions."

The joint establishment of clear roles and responsibilities is an effective way to keep the project on track (McEwen et al., 2003; Coldren et al., 2002; Roman et al., 2002). This establishes a built in feedback and accountability system. While the Mattesich meta-analysis found this to be very important, a survey conducted by Weller involving the Criminal Justice System Project (CJSP) rated clear roles and responsibilities as second to last in importance for measuring the effectiveness of collaboration. This may partly be due to the context in which the work occurred. The CJSP collaborative consisted primarily of system players who already had a governance structure in place. This structure becomes even more significant in settings that involve non-traditional partners. Projects that were dependent on melding traditional Indian Ways with the bureaucratic model found that the lack of clearly defined roles and responsibilities had led to distrust among the partners (Lujan et al., 1999). In settings that involve community members it is important to have clarity on roles because it may very well be more appropriate for the structure to allow for a combination of the top-downwards, bottom-upwards decision-making processes (Dunworth et al., 1999). However,

whatever the context, the strength of the infrastructure makes it easier to build consensus about goals and strategies.

How decisions are made is a key indicator of collaboration. Collaboration requires shared decision making. Included in the decision-making is the determination where authority can and will be shared. Most governmental agencies operate under a hierarchical system where the “boss” is the ultimate decision maker. An agreed upon decision making process needs to be in place that can assist in overcoming ingrained practices, manage conflict, and facilitate instituting new practices in the day-to-day work. McGarrell et al. (2003) credits this type of structure for “overcoming bureaucratic dilemmas”. They accomplished this by creating an environment where everyone’s decision mattered and decisions were made by consensus. This approach only works if the decision makers attend the meetings or grant authority to the assigned staff person as it is a group process (Lasker et al., 2001; Weller et al., 2001). If not, what the group may end up with are cross-agency agreements but not ones that overlap roles and responsibilities and are true examples of collaboration.

The dedicated coordinator position is commonly identified as a positive factor to the success of any collaborative effort (McGarrell et al., 2003; Brimley et al., 2002; Coldren et al., 2002; Roman et al., 2002; Weller et al., 2001; Lujan et al., 1999; Roehl et al.). If the leader(s) in this effort do not possess facilitation skills, coordinators can fulfill this function. Coordinators provide the vital staff support needed for preparing meeting material, logistics, as well as ensuring communication linkages amongst members between meetings. Coordinators are strongly recommended for collaborative efforts because they often can keep all the individuals and various pieces together and can facilitate the process moving forward (Coldren et al., 2002; Roman et al., 2002; Lujan et al., 1999). While coordinators are important, they are not members of the team and are not part of the decision-making process.

DIMENSION: OPEN AND DIRECT COMMUNICATION

A clearly established process for communicating and sharing information are pivotal in the teams' ability to solve problems effectively. (McGarrell et al., 2003; Lasker et al., 2001). This includes establishing ground rules and meeting procedures. It requires clearly defining each member's responsibility for communication and agreeing upon the structure to be followed. Establishing and institutionalizing collaboration takes time, therefore, it is important to develop interesting and innovative ways of keeping the lines of communication open and in frequent use (McEwen et al., 2003). Brimley et al. (2002) found that open communication was instrumental in surfacing the differences so the partners could wrestle with the implications.

DIMENSION: MUTUAL AUTHORITY AND ACCOUNTABILITY

Leadership also plays a primary role in collaborative efforts but pose an interesting challenge for bureaucracies. The person who leads the effort needs traditional management skills coupled with facilitative skills to be effective in this role for a collaborative effort (Coldren et al., 2002; Roman et al., 2002; Lasker et al., 2001; Weller et al., 2001; Dunworth et al., 1999). Successful collaboration focuses on sharing power and decision-making, which requires facilitation skills. Traditional leaders tend to have "a narrow range of expertise, speak a language that can be understood only by their peers, are used to control, and relate to the people with whom they work as followers or subordinates rather than as partners. Partnerships, on the other hand, need boundary-spanning leaders who understand and appreciate partners with different perspectives who can bridge their diverse cultures and are comfortable sharing ideas, resources and power." (Lasker et al., 2001). Projects that take this approach are more likely to be successful (Coldren et al., 2002; Dunworth et al., 1999).

The prerequisite to these afore-mentioned skills in a leader is having one who is respected both by those working on the projects and by those within the community (Nichols et al., 2002). Belief and faith in the leader can effectively create an environment for exploring new approaches. This may mean different people might fill the leadership role

based on the progress of the group or what needs to be accomplished (McEwen et al., 2003; Coldren et al., 2002; Roehl et al., 1995). The members of the collaborative efforts are usually the leaders within their community who represent diverse groups. This idea may also surface some conflict that would need to be openly addressed and resolved.

SIGNIFICANCE OF THIS STUDY

This study was not burdened by a requirement to measure prevention or reduction of crime. Nor was it responsible to measure the success of a particular program. The sole focus of this study was to add to the literature regarding what is required for collaboration to be successful in changing the way they work. Research in criminal justice thus far has either looked at collaboration as a means to an end result or collaboration in terms of community becoming a partner with governmental agencies. The unique feature of this study, though, is that this study specifically defines collaboration, delineates it from similar terms, and focuses exclusively on how it affects a change in working relationships and practices.

CHAPTER THREE

METHODOLOGY

OVERVIEW OF STUDY

This study examined the ability of the criminal justice system and its partners to adopt a collaborative problem solving approach using 5 separate dimensions: Authority and Accountability, Responsibilities and Structure, Relationships, Communication and Vision/Purpose to address crime in their communities.

The unit of analysis was the governance committee* for 4 federally funded collaborative problem solving projects. The degree of collaboration was determined through a content analysis, on-site interviews, and completion of a survey by the governance committee members. A matrix was developed that allowed for coding degrees of collaboration in the five dimension areas for the three sources of information. Comparisons were made between the programs funded by the same initiative, between the programs from the same city, and across all four projects. Combinations of dimensions were also analyzed to determine the effect this may have had on the ability to adopt collaboration as a way of working.

A decision was made that the Federal Initiative, jurisdictions, and projects involved with this study would remain anonymous. Ensuring confidentiality of location and projects helped to promote uninhibited responses from the people interviewed and assisted in an honest assessment. It also prevents those reviewing the study to be biased by their perception of the jurisdiction, initiative, or the project.

* The policy committee for each of the projects will be referred to as the governance committee.

SITE SELECTION

Federal Initiatives requiring multi-agency and organization partnerships were reviewed and assessed regarding their appropriateness for this study. The following criteria for project selection was developed in conjunction with Federal program staff, researchers in the field, and evaluators for multi-site initiatives:

- **Length of time in operation.** Adopting collaboration as a way of conducting work takes time. Projects that were considered had to have been in operation for at least 4 years to allow for the time to shift practices.
- **Conclusion of Grant Funding Date.** Projects that were selected needed to be in the last year of their funding or have closed out their status with the federal government in the year from the beginning of this study.
- **Amount of Federal Funding Available.** As evidenced in the literature review, funding is a significant factor in collaborative work. Projects that were selected received a sizable amount from the Federal government to neutralize this factor for this study. Funding is always a factor so projects that received a significant amount of funding were more likely to keep the project partners at the table.
- **A completed evaluation of the project.** An evaluation provided a framework for this study. Impact of the projects had been analyzed through this work allowing for this study to build from there or to expand the findings associated with collaboration.
- **Data and information was available and accessible.** This study required a retrospective review and analysis of documents so it was essential that they were in existence and that the researcher could get access to them.

The Bureau of Justice Assistance Comprehensive Communities Program, the Executive Office of Weed and Seed, the Bureau of Justice Assistance Tribal Strategies against Violence and the Office of Juvenile Justice Delinquency Prevention Title V Grant Program were among the initiatives reviewed.

Using the selection criteria, a number of potential cases were eliminated. Several jurisdictions received funding from more than one Federal initiative. This made it possible to select 2 projects within one jurisdiction. It was also decided to select two jurisdictions that had similar demographics as defined by the 2000 census (see **Table Three**). This

allowed for an examination of each project, between similar projects, between projects within each city, and between all four projects. By doing this, there was a greater window to schedule interviews and extra time to become more familiar with the area. The projects that were selected in each city were implemented in overlapping geographical areas. This increased the reliability of the findings because it ensured similar exposure to external conditions.

CITY ONE	CITY TWO
2000 census population: 589,140	2000 census population: 563,374
Rank: 20	Rank: 24
2003 population estimate (rank):	2003 population estimate (rank):
581,616 (23)	569,101 (24)
Change: 2.6	Change: 9.1
2000 percent population 18 and over: 80.2%	2000 percent population 18 and over: 84.4%
65 and over: 10.4%	65 and over: 12.0%
Median age: 31.1%	Median age: 35.4
Male: 283,588 (48.1%)	Male: 280,973 (49.9%)
Female: 305,553 (51.9%)	Female: 282,401 (50.1%)
White: 320,944 (54.5%)	White: 394,889 (70.1%)
Black: 149,202 (25.3%)	Black: 47,541 (8.4%)
American Indian and Alaska Native: 2,365 (0.4%)	American Indian and Alaska Native: 5,659 (1.0%)
Asian: 44,284 (7.5%)	Asian: 73,910 (13.1%)
Hispanic/Latino: 85,089 (14.4%)	Hispanic/Latino: 29,719 (5.3%)
Other race: 46,102 (7.8%)	Other race: 13,423 (2.4%)
Two or more races: 25,878 (4.4%)	Two or more races: 25,148 (4.5%)
Unemployed: 88,579 (4.7%)	Unemployed: 84,560 (5.9%)
Per capita personal income (MSA) 2002: \$42,436	Per capita personal income (MSA) 2002: 38,037
Crime Rate: 6315.60 per 100,000	Crime Rate: 8053 per 1000

TABLE THREE: Demographics of Selected Cities

Projects ALPHA and BETA were from City One and Projects GAMMA and DELTA were from City Two. The projects were selected from two different Federal Initiatives so each city had the same two types of projects as illustrated in Table Four.

	City One	City Two
Federal Initiative 000	ALPHA	GAMMA
Federal Initiative 111	BETA	DELTA

TABLE FOUR: Breakdown of projects in each city and the associated Federal initiative

RESEARCH DESIGN

The National Institute of Justice's Review Board and the University of Oregon's Human Subject Review Board reviewed and approved the research design, the on-site interview process and questions. A copy of the consent form and introductory letter are included in Appendix B.

A case study approach that used several sources of information was selected for this study. Examining collaboration requires gathering information from different sources to see if it tells the same story or a variation of the story. This study evaluated the ability of four separate projects to adopt collaboration as a way of working by measuring 5 predefined dimensions of collaboration. Predefined means the dimensions were developed from prior collaboration research. The study also included a multi-case analysis that identified similarities and differences among and between the projects. The research question was "Can the criminal justice system adopt collaboration as a way of working? The answer was obtained by measuring five dimensions of collaboration using information gathered from three sources: project documents; on-site interviews; and a collaboration survey. Using multiple sources increases the reliability of the findings.

Prior to beginning the analysis, time was devoted to identifying the type of information that could be obtained from each source. This provided a more focused examination and increased the likelihood of gathering the information needed for the analysis work. Table Five denotes the type of information we sought from the three sources as well as the relevant dimension.

DIMENSION	Documents	Interview	Survey
Vision	<ul style="list-style-type: none"> • How original vision statement was developed • Signs of Ownership • Mission and Goal Revisions 	<ul style="list-style-type: none"> • Each members perception of the vision • Each members vision • Willingness to be involved again 	<ul style="list-style-type: none"> • Perception of ownership • Perception of commitment to success • Level of commitment • Perception regarding importance of working together
Communication	<ul style="list-style-type: none"> • Amount and type of Communication between members 	<ul style="list-style-type: none"> • Process for informing members • Process for gaining input • Amount of contact with other members 	<ul style="list-style-type: none"> • Open communication • Process for informing members • Amount of contact with other members outside of meetings • Informal communication • Clear picture of desired outcome • Members understood goals
Responsibilities And Structure	<ul style="list-style-type: none"> • Member Organizations • Member Characteristics • Lead Agency • Project Coordinator • Decision-Making Process • Process for accountability • Process for assignments • Meeting attendance • Meeting participation • Role and responsibility changes • Accomplishments 	<ul style="list-style-type: none"> • Process used for identifying and prioritizing work • Decision-making process • Meeting attendance • Level of people attending meeting • Accomplishments • Changes in roles and responsibilities • Meeting management 	<ul style="list-style-type: none"> • Cross-section representation • Breadth of involvement • Decision-making process • Level of people attending meetings • Participation in decision-making • Clarity of roles and responsibilities • Adaptability • Time to get work accomplished • Reasonable goals
Relationships	<ul style="list-style-type: none"> • Interaction patterns • Sharing of Information patterns • Conflict Resolution process 	<ul style="list-style-type: none"> • Perception of Commitment • Examples of Commitment • Perception of relationships • Perceptions of trust or mistrust • Conflict Resolution Process • Perceptions of what built or didn't build relationships 	<ul style="list-style-type: none"> • Perception of trust • Level of respect • Willingness to compromise • Commitment of time • Openness to others ideas
AUTHORITY	<ul style="list-style-type: none"> • Decision-making authority • Control of resources 	<ul style="list-style-type: none"> • Decision-making authority • Control of resources 	<ul style="list-style-type: none"> • Decision-making authority • Control of resources

TABLE FIVE: Sources of Information for Measuring Collaboration

CODING INSTRUMENT

A coding instrument was developed based on the work of Mattessich, Monsey, and Murray-Close (2001). The coding instrument separates cooperation, coordination, and collaboration by identifying indicators in each of the five dimension areas. Additional indicators were added to their base work to assist in detecting the degree of collaboration in each of the dimension areas. The dimension indicators were assigned a number to use for coding the information. Table Six is an example from the coding instrument.

	Cooperation	Coordination	Collaboration
Dimension			
Vision	11 Individual agency missions were not taken into account	14 Missions were reviewed for comparability	17 Common, new mission was created

TABLE SIX: Example of Coding Instrument.

CODING

Once the coding instrument was developed, a criminal justice professional was trained to code the documents. Having two people (the coder and researcher) code the documents independently increased the confidence and reliability in the instrument for accurately identifying degrees of collaboration when documents were scored.

The first training for the coder lasted approximately eight hours and primarily was a discussion about the definitions and distinctions between cooperation, coordination, and collaboration. There was also discussion about the decision criteria for coding. The person being trained had an opportunity to practice coding documents with time allotted for a review of discrepancies of coding between the coder and the researcher.

A few documents were reviewed and coded separately by the person assisting and the researcher. This process identified a few areas that needed additional clarification. For example, the results of program implementation and the program results were not to be included in the coding because it was beyond the scope of this study. It was also discovered that the coding instrument did not allow for examples of behaviors or activities that were extremely detrimental to collaboration such as unresolved conflict. The coding form was revised to reflect these types of examples. Discrepancies of scores were discussed until consensus was reached.

CONTENT ANALYSIS

The Federal Program Officers for each of the projects ensured easy access to all the federal documents. This included the original solicitation, original grant application, the progress reports, correspondence, and other supporting material associated with the project. Material was also gathered during the on-site interviews such as meeting minutes and other reports that were not present in the federal material. The material was reviewed for evidence of the indicators listed on the coding instrument and a retrospective framework was established. Approximately 533 documents were reviewed for this study.

DEVELOPMENT OF INTERVIEW QUESTIONS

Questions were developed that would elicit information from the Governance Committee members in regards to degrees of collaboration in the five dimension areas. The purpose of the questions was to supplement the document review. Most documents were prepared by the administering agency so the questions were a means to determine if others had the same perception regarding the progress of the work and the functionality of the Governance Committee. The questions were also a way to get information in dimensions of collaboration that are less likely to appear in documents such as commitment levels, decision-making processes and conflict resolution strategies.

DEVELOPMENT OF SURVEY

A survey was developed by modifying the Amherst Wilder Foundation Collaboration Factor Inventory. This was the third source of information that was used for assessing degree of collaboration for each project and for comparisons between like programs and programs that were implemented in the same city. Minor revisions were made to the wording of the inventory, primarily making it past tense, eliminating the neutral answer response, and adding a few supplemental questions. It was administered during the interview. The survey provided information about team members' perceptions concerning the degree of collaboration throughout the planning and implementation of a project. The results identified the strengths and weaknesses of the group with respect to the factors of collaboration and identified the areas where there was and was not agreement regarding each state. The survey consisted of 42 statements related to collaboration.

PRE-TEST

Members of an ongoing collaborative problem solving project who were not included in this study agreed to be interviewed and complete the survey. They also provided documents that could be examined to test the coding instrument.

Several things were learned through that process. The first lesson learned was that there were too many questions for the structured interview. Some of the questions could get answered in other ways and some needed to be eliminated to shorten the process. The second lesson learned was not to rely on meeting minutes to identify the process and progress of the committee. The meeting minutes for this project did not capture what occurred at the meeting but rather attempted to keep the group moving forward by giving some direction regarding major decisions. The last lesson learned was there was a need to modify the scoring form for the collaboration survey. The neutral response was removed; hence forcing people to go to one side or the other in terms of agree or disagree.

PRE-INTERVIEW PREPARATION

Phone interviews were conducted with the project coordinators to explain the study and to solicit their assistance in arranging interviews with the key players. Key players were those people who were identified in the original grant as members of the governance committee. Modifications were made if any of the people listed were not involved or if new members had been added to the governance committee during the planning and/or implementation process.

Calls were made to schedule interviews with the governance committee members. A letter was sent to each person describing the study, the type of information that would be collected, explaining that their participation was voluntary and requesting that they sign a consent form. The only people who did not receive a letter were those interviews scheduled on site without sufficient time to receive the letter before the interview.

STRUCTURED INTERVIEWS

Structured interviews were conducted with governance committee and key staff for each of the four projects regarding their perceptions of collaboration and how it affected the way in which they conduct business. Table Seven indicates the number of people interviewed for each project.

	ALPHA	BETA	GAMMA	DELTA
Number of Interviews	14	13	15	15

TABLE SEVEN: The number of people interviewed for each Project

Each person was asked the same questions and the answers were recorded using pen and paper. After the interview, the answers were typed and sent back to each person for review to ensure accuracy of the notes and to allow for clarification if necessary. The interview responses and the survey results were rated using the coding instrument.

DATA ANALYSIS

All information from the three sources was coded to identify indicators of collaboration. The coding instrument allowed for the placement of the information on a continuum of degrees of collaboration with cooperation being "1", coordination being "2", and collaboration being "3". This information was entered into an excel file for analysis dividing the ratings by dimensions and by source of information. This allowed for determining 3 mean scores for each dimension obtained from each of the three sources of information – the content analysis, the interview, and the survey. In addition, the standard deviation was calculated for each group of responses. This provided a measure of the variability associated with the mean. The greater the standard deviation the less confidence there is in the mean scores.

Initial conclusions were drawn from analyzing the mean scores and standard deviations for each project. Then, the findings were viewed in the context of pertinent facts about the project gathered from the three sources of information. A similar process was used to compare between projects that were implemented in the same city, between projects funded from the same initiative, and a comparison of all four projects.

Effort was expended attempting to sort through the findings to determine if one or more of the dimensions seem to be more significant than others regarding successful collaboration. Effort was also expended attempting to determine what would be a "deal killer" that permanently derails any effort to collaborate. This is important because, as was learned, there can be permanent damage to working relationships that can negatively impact any future attempts to collaborate. Then, as in this situation, our communities suffer because we are not working together to enhance community safety.

CHAPTER FOUR: FINDINGS

TWO CITIES: FOUR PROJECTS

OVERVIEW

This chapter presents the findings of the comparative analysis of four criminal justice projects that undertook a collaborative problem-solving project. Two Federal Initiatives identified as Initiative 000 and Initiative 111 funded the four projects selected for this study.

Initiative 000 aimed to prevent and control youth crime and victimization by working with communities to establish a continuum of care responsive to public safety needs and to the developmental needs of youth through an appropriate range of prevention, intervention, treatment and sanctions. This initiative sought to help communities expand collaborative efforts directed at reducing juvenile delinquency and violence. Collaboration with public and private agencies, community residents and youth were required for funding.

Initiative 111 aimed to control violent and drug-related crimes in targeted neighborhoods and provide a safe environment free of crime and drugs for residents. The initiative brought together federal, state, and local governmental agency representatives, social service providers, business owners, and neighborhood residents to work together in preventing crime. The projects funded by this initiative were expected to maximize resources through collaboration and integration of programs and services.

The four projects were identified as Projects ALPHA, BETA, GAMMA, and DELTA. ALPHA and GAMMA were funded by Initiative 000. Initiative 111 funded BETA and DELTA. The focus of the analysis was to explore the degree to which each project adopted collaboration as a way of conducting their work in their community.

As mentioned previously, five dimensions of collaboration were measured:

1. Vision
2. Responsibilities and Structure
3. Authority
4. Relationships
5. Communication

The degree of collaboration was determined through review of project documents, interviews, and completion of a collaboration survey by each person on the governance committee. Please note, for ease of reading, the primary committee for each project is called the governance committee.

The findings are presented in four sections:

1. **Section One** is the analysis of the two projects from City One; Project ALPHA and Project BETA. It also includes the comparison of these two projects.
2. **Section Two** is the analysis of the two projects from City Two: Project GAMMA and Project DELTA. It also includes a comparison of these two projects.
3. **Section Three** is a comparison of the projects funded by Initiative 000: Project ALPHA and Project GAMMA. It also includes the comparison of the projects funded by Initiative 111: Project BETA and Project DELTA.
4. **Section Four** is a overview of the findings of the four projects in their efforts to collaborate.

Discussion and analysis in each area examined what seemed to help or hinder adopting collaboration as a way of conducting work. The analysis explored possible combinations of factors and dimensions that seemed to make a difference in the group moving forward together even if people on the governance committee changed during the course of the project. Cross-site comparisons allowed for even more critical assessments of the essential elements or conditions for collaboration.

SECTION ONE

CITY ONE – Projects ALPHA and GAMMA

City One is the state capital and the largest city in the state. It is a major industrial, financial, and educational hub and the major port. The city's banking and financial services, insurance, and real estate sectors continue to drive the economy. The city is a leader in health care, with numerous inpatient and community health centers. The city's unique cultural and historic heritage makes it a center of tourism, and the hotel industry ranks among the highest in the nation in occupancy. High technology, biotechnology, software, and electronics are the other major businesses in this region.

City One is a city with a multitude of very distinct neighborhoods, each with their own cultural identity. The target communities showed all the signs of urban decay: empty run-down buildings and vacant lots, high unemployment and widespread poverty and criminal activity. For many years, businesses failed to invest in these communities leaving them to decay with little hope for progress.

PROJECT ALPHA

Project ALPHA was an outgrowth of a previous initiative that supported the development of neighborhood coalitions. The goal of Project ALPHA was for governmental agencies to work with communities to enhance the quality of life within the neighborhoods by addressing the needs of high-risk youth. Project ALPHA brought together many of the same partners as the previous initiative. There was a signed Memorandum of Agreement between the partners for this project.

Project ALPHA

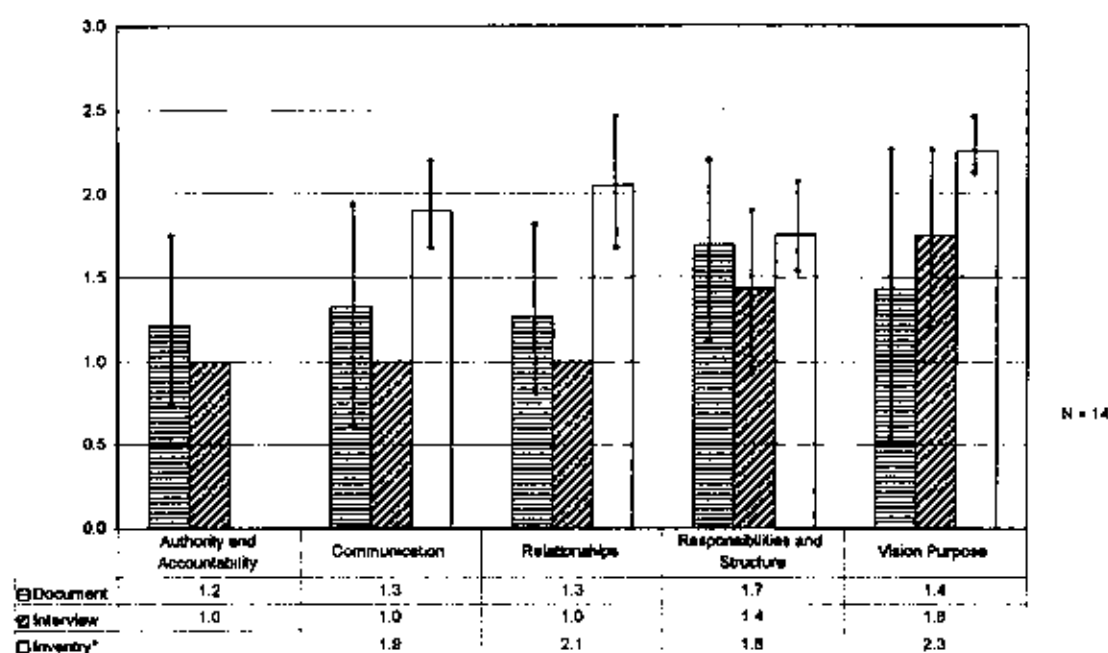


TABLE EIGHT: Means and Standard Deviation Results for Project ALPHA Coding. "1" represents cooperation; "2" represents coordination; "3" represents collaboration.

Table Eight illustrates the mean scores for the coding of the three sources of information used for this study: content analysis, interviews, and surveys for Project ALPHA. A 3-point scale was used with 1 representing cooperation, 2 representing

coordination, and 3 representing collaboration. It would appear from the review of the findings and further analysis of the deviations of scores that this project tended to cooperate most often with some coordination but did not collaborate, as defined by this study*. Information obtained from the documents, interviews, and inventories were used to assist in providing explanations for the results of the coding and scoring. The dimensions of collaboration were used as the structure to present the findings.

COLLABORATION DIMENSION: AUTHORITY AND ACCOUNTABILITY

It became clear from the document review and interviews that there was a significant discrepancy regarding governance between the members of the governance committee and the government-administering agency. This was also reflected in the coding results. The mean score for the documents and interview were 1.2 and 1.0 respectively. It is even more solidified with observation of the standard deviation scores. The standard deviation for the document results was .46 meaning that two-thirds of the people were within 15% of the mean score. The standard deviation for the interviews was 0.00.

It is not easy to discern if those involved with the project ever actually understood each other's perception regarding who had authority or if they didn't accept it. The community member representatives entered into the project with the understanding that they would be on a governance board. Webster's dictionary defines governance as "*the body of persons that constitutes the governing authority of an organization.*" This was the how the community members defined governance. The members expected to have decision-making authority. And yet, when the government administering agency representative was interviewed, she clearly stated that the governance committee's role was strictly advisory.

It became evident early in Project ALPHA that there was dissention regarding authority and decision-making. The cause is not clear. It may have been due to the fact that final authority was not clarified and/or lacked agreement. Conflict can be inevitable unless an agreed upon process is in place for making decisions. No such process existed in this

* Collaboration definition on page 11

case. It may have been because the original intention of those working on this project was to use an existing neighborhood board. This board operated with the right of final decision. The expectation was this process would continue with the new project.

This confusion slowed implementation of the project activities. It caused the Federal-funding agency to direct the city-administrating agency to insure an organizational structure with clearly defined roles and responsibilities in order for work to proceed. The response of the city was to form a new public governance board which excluded community members who were part of the original governance committee. The project director was directed to develop relationships with individual neighborhood boards directly instead of the overarching board that was the original governance committee. The governance committee viewed this action as a way to remove any decision-making authority from them, and many withdrew from participation.

The final progress report for Project ALPHA references the difficulty in building a collaborative problem solving approach. A variety of accountability mechanisms were introduced, however, to ease tensions and to ensure that service providers were fulfilling their obligations. Accountability mechanisms included: the creation of a contract monitor position to provide better oversight of subcontractors; the establishment of mandatory monthly grants management meetings with contractors to convey information about administrative and reporting requirements; and imposition of sanctions when contractors did not comply with their contracts. Project ALPHA ultimately became focused on the operations, not on the building of an infrastructure that creates an inclusive environment that encourages collaboration.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

It was clear from reviewing the documents, conducting the interviews, and administering the collaboration survey that there was lack of clarity regarding the roles and responsibilities for this project. The mean scores for each area suggests that there was cooperation, however, review of the documents, comments made during the interview, and

with the governmental administering agency in overseeing the work of the project. These roles are outlined in the original Memorandum of Agreement between the local administering agency and the governance committee for the project.

The agreement stated that policy and management oversight would be shared between the governance committee and the local administering agency. The local administering agency would retain primary responsibility for managing and overseeing the grant for the project. The governance committee would review and approve budgets, approve or reject recommendations for allocation of funds, and secure commitment of organizations necessary for implementation of the plan for this project.

The people involved with the project struggled with reaching an agreement regarding the organizational structure for conducting business and making decisions. A strategic plan was developed by the administering agency in the second year of the grant. This was intended to resolve the conflict by redefining the roles and responsibilities of the people working on the project. One of the interesting components of the plan, though, was that it was contingent on the commitment of time and resources of numerous groups. However, it was not apparent whether efforts were made to secure a commitment on these issues. The strategic plan had a revised Memorandum of Agreement. However, the members of the original governance committee did not sign off on this agreement.

Another attempt was made in the fourth year of the project to develop an infrastructure that would assist Project ALPHA in creating a collaborative problem solving approach for conducting their work. A private non-profit organization was hired to be the fiscal and administrative agent for the project. The scope of work for this contractor covered the gamut of services from traditional fiscal management to responsibility for creating an infrastructure that would build collaboration among the stakeholders. The scope of services stated "True collaboration will occur when all the stakeholders are willing and able to commit to the five T's of collaboration i.e. sharing of time, talent, treasure, turf, and building of trust among all." This was the motto used by the new project director in her interactions with stakeholders. The contract for fiscal and administrative services was not renewed. It is not clear from the documents or interviews why the contract was not renewed.

There were six different directors over the five years of the project. Each person brought his or her own style and perspective to the work. This required adjustment time with the changed personalities and ultimately affected the progress of the project. The different styles, skill sets, and experiences of the directors were reflected in the reports that were reviewed for this study.

Because of the dissatisfaction with the proposed organizational structure (governance), the decision-makers quit attending meetings or had limited involvement. This slowed the development of a seamless continuum of services because the people attending the meetings could not make decisions nor did they have the support of the decision makers to support change in conducting work. It is worth noting that the people interviewed were primarily the decision makers and when asked how decisions were made in the group, the typical response was, "We didn't make decisions. The city did."

There was an interesting development that surfaced toward the end of the project. A few people, not members of the governance committee, but staff directly involved with operations, continued their effort to establish a coordinated response of services for youth that led to drafting a set of bylaws and articles of organization. Those documents had been filed and were awaiting approval by the regulating authority.

COLLABORATION DIMENSION: COMMUNICATION

Communication was an issue for this project. This is reflected in the coding results. The mean scores in the document review, interviews, and survey were less than 2. The mean score for the interviews was 1. This indicates that there were responses that suggested there were times when the group was not cooperating. The reliability of these results is strengthened by the standard deviations in the three areas. The standard deviation for the document review was .65 meaning that two-thirds of the documented findings fell within 21% of the mean. The standard deviation for the interviews and survey were much smaller with the interview 0.00 and the survey .32. A closer examination of the responses on the

survey suggests that the difficulty in communication was mainly between the community and the administering agency.

Project ALPHA's challenges with communication are reflected in their practice of communicating largely in writing to each other. Described here is a scenario that illustrated the breakdown in communication which occurred frequently during this project. In January of the second year, there was an article in the local newspaper quoting the city director managing the grant as saying the projects' governance committee was responsible for funding not getting to the community. The article was partially based on a letter the director had sent to the governing bodies. In response, the governance committee sent a letter to the city director voicing strong opposition about "going public" with unfounded issues and to some of the planned changes outlined in the letter sent to them. In their letter, they reiterated their concerns about the diminishing role of the original governance committee. They claimed that the proposed Memorandum of Agreement (MOA) would take away their participation in decision-making associated with the project and give it to a newly formed policy group established by the city.

It appears a letter was also sent to the Federal project officer. The response from the Federal project officer to the administering governmental agency director cited concerns about the confusion over roles and responsibilities. It was his understanding that the new governance committee being proposed by the administering agency would be the oversight body for the project.

Each party: the city, the governing board, and the Federal project officer, believed they understood the roles and responsibilities of the governing board. And yet, as described, this is not the case. From the interviews, it was evident that this issue was never resolved. This conflict and confusion was also cited in the local evaluation report.

COLLABORATION DIMENSION: RELATIONSHIPS

It was apparent from the documents and interviews that relationships were strained on this project. This is reflected in the coding results. The mean scores for the document and interview coding was 1.3 and 1.0 respectively. The standard deviation score was .50 for the documents and 0.00 for the interviews.

There was distrust among the governance committee members mainly directed toward the administering agency. This was partly due to the management style of one of the project directors who served in that capacity longer than anyone else. That style was frequently cited during the interviews, and was consistently described as abrasive and demeaning in interactions with community members. One member stated "The city brought in a bull dog to corral the community. The bully was assigned to keep the people in line." This individual was the director for nearly 3 years.

Responses on the survey suggest that the governance committee was in contact with each other and wanted the project to work but lacking was the necessary relationships to work through the mistrust. It appeared from the review of the documents and the survey that this project lacked persons who had the requisite skill set to facilitate resolution to conflict.

The governance committee for this project was drawn from members of three different community boards. Each of the community boards were in different stages of evolution affecting how solidified they were as a board and grounded in their operating practices. The boards also had different skill sets among their members so some were more prepared to do activities such as fiscal management. This being acknowledged, the governance committee requested technical assistance from the administering agency to assist them in developing the appropriate skills to break down political barriers, review other governance structures, and to develop a Memorandum of Understanding which all participants understood and agreed with for participation. It was not clear from the interviews if this request was fulfilled.

When asked what helped to build trust one member responded, "This was not an issue because we never were cohesive enough for trust to be an issue." Of the four projects involved in this study, Project ALPHA was the only project that was waylaid because of the inability to resolve conflict. Some involved with this project said that the community members thought of the funding as a block grant thus allowing them greater flexibility in use of the money. Others thought it was a power play by the governmental agency because the governance committee became so strong and exercised more influence than the governmental agency. The reason for the conflict was not the roadblock. It was the inability of those directly involved with this project to have a discussion and/or an unwillingness to come to consensus - thus no resolution.

COLLABORATION DIMENSION: VISION

The area that was most striking when reviewing this project was the level of commitment to youth from the people who were involved with this project. The community and the governmental agency representatives were invested in making the neighborhoods better for youth and making more services available to those in need. This was evident from the comments made during the interviews and the responses to the survey.

The governance committee did not share ownership of the vision of this project though. Initially there was tremendous involvement and commitment by the community and others to work on this project. This lasted through the first year. In the second year a strategic plan was developed and a new mission statement was written. It was viewed by the Governance Committee as the mission of the administering agency and the Federal Initiative, not as the mission of those involved at the local level. The ongoing attempts to shift governance for this project leads one to suspect that the original people who shared a vision lost interest as this project progressed.

An interesting fact was that responses to the collaboration survey suggested that people were not opposed to different approaches to work and wanted the project to succeed but did not feel ownership of the process or outcome of the project.

SUMMARY

As a way of summarizing the experience, each person interviewed was asked if they would do it again. Four people said they would and seven people said they would not do it again. As importantly, three people refused to be interviewed. Something did not work on this project. One is led to believe that the underlying conflicts measurably influenced positive results.

The examination of this project suggests that the commitment to a shared vision was not enough to move this project toward collaboration. One of the key indicators of collaboration is shared decision-making. This could not be accomplished for this project. From the beginning, it was a bifurcated process with the governance committee being led to believe they were responsible. However, it would be highly unlikely that the administering agency would not be part of this process given that they would be held accountable for Federal resources and outcomes.

The line of communication that occurred on this project seemed to be directed one-way – primarily from the administering agency to the governance committee and neighborhood boards. Those involved were unable to create a synergy together. Lack of trust among key players was a hampering factor. It would be incorrect to assume it was an interpersonal issue between the administering agency and the governance committee. From the documents and interviews it appeared that this was largely due to lack of time available by the administering agency to direct toward this project. Sufficient time was lacking, therefore, conflicting issues did not always surface with sufficient time for resolution. Likewise, the administering agency failed to or was unable to integrate others as shared partners. Unfortunately, this posture overshadowed achieving a collaborative project.

PROJECT BETA

Project BETA expanded upon the work of another initiative and shared many of the same members. Project BETA's goal was to create safer neighborhoods through collaborative planning and comprehensive action by government agencies and community residents. There was a signed Memorandum of Agreement among the governance committee members at the inception of this project.

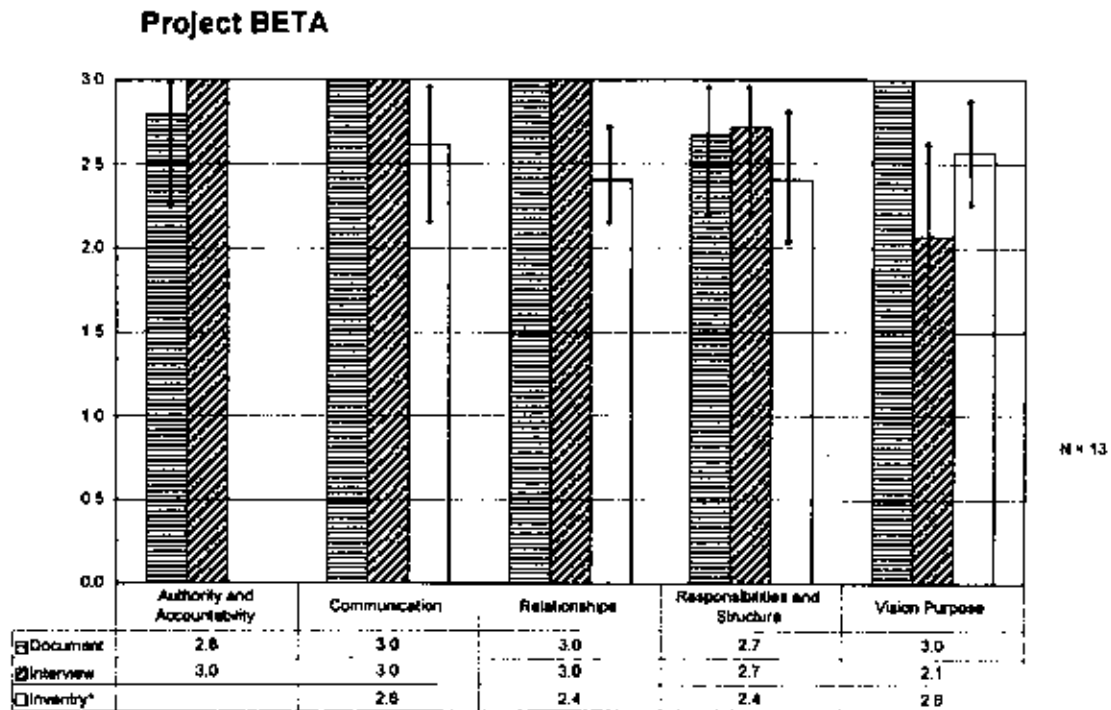


TABLE NINE: Means and Standard Deviation Results for Project BETA Coding. . "1" represents cooperation; "2" represents coordination; "3" represents collaboration.

Table Nine illustrates the mean scores for the coding of the three sources of information used for this study: content analysis, interviews, and surveys for Project BETA. A 3-point scale was used with 1 representing cooperation, 2 representing coordination, and 3 representing collaboration.

The mean scores for each dimension suggest that this project tended toward collaboration as reflected in the mean scores of the document review and interviews for all areas except vision. When asked about a shared vision from another perspective, the survey, the mean score for vision showed a stronger lean toward collaboration. The lowest mean score was 2.1 with all but one other being a 2.5 or greater.

Information obtained from the documents, interviews, and inventories was used to assist in providing explanations for the results of the coding and scoring. The dimensions of collaboration were used as the structure to present the findings.

COLLABORATION DIMENSION: AUTHORITY AND ACCOUNTABILITY

The mean scores received through the coding indicated that people did not feel powerless in their role and believed they shared authority – an indicator of collaboration. The responses were so similar for the interviews that the standard deviation score was 0.00. This may have been because the governance committee spent over a year working through a process of building trust between governmental agencies and the community. The interview process would suggest this was largely due to the community co-chair. This individual gained the respect of both the community and the government through his balanced leadership coupled with his facilitation skills. More subtle in the interviews was the composed leadership provided by the governmental co-chair. This individual was comfortable sharing authority and honored shared decision-making. These two individuals were able to keep the work progressing in a positive manner.

The community members on the council elected the community co-chair and the governmental representatives elected the other co-chair. The co-chairs did not vote unless there was a tie and they would decide prior to the vote which one of them would be voting. They also discussed the issue and their vote between themselves before proceeding.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

The mean scores reflected that the structure and operating procedures developed for Project BETA supported an approach that leaned toward collaboration in conducting work. The mean scores from the document review and the interviews were 2.7 and the mean score from the survey responses was 2.4. As discussed briefly in regards to authority, the governance committee spent a significant amount of time coming to agreement on the structure and process in which they would conduct their work. Diagram Three illustrates the organizational structure of the governance committee and associated committees.

Project BETA Organizational Chart

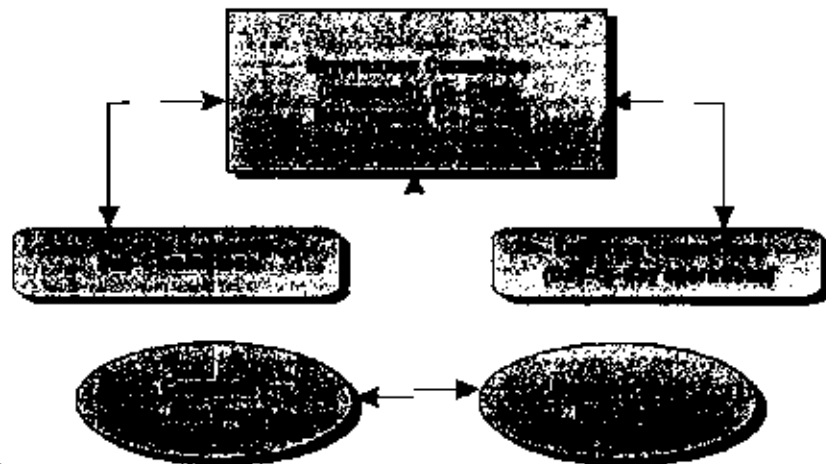


DIAGRAM THREE

The structure for accomplishing work involved two key committees that met in alternating months. Three things occurred at the community meetings: 1) neighborhood residents voiced their concerns; 2) the governance committee members apprised the community of progress on problem solving; and 3) new topics were identified.

Discussion and determination of a course of action were decided at the governance committee meetings. The governance committee meetings did not allow for community members to present problems at their meetings because those meetings would then just be another community meeting.

The governance committee instituted a Logistics Committee that provided day-to-day oversight for the work on this project. This included administrative and budget management. Each person on the committee had assigned duties that included a definite link between the work of their agency and the work of Project BETA.

The governance committee members developed and adopted bylaws that directed their work. The bylaws specifically defined the roles and responsibilities of the governance committee members. One of the unique features to the bylaws was the statement that each member served as a representative of their agency not as an individual member.

The importance of having a skilled full time coordinator was mentioned numerous times in the interviews. The coordinator for this project was highly skilled in community organizing and well respected by the members – key qualities for this role. The coordinator was employed by a non-governmental community-organizing agency that was well integrated into the community.

COLLABORATION DIMENSION: COMMUNICATION

Project BETA had a very structured communication system and, as evidenced by the mean scores and one that was viewed as collaborative. The means scores for the document review and interviews were 3.0 with a standard deviation of 0.0.

The coordinator would insure members received material and/or information regarding decisions to be made prior to the meeting. There was an extensive mailing list (email and postal) regarding upcoming meetings with the agenda so everyone would know if there was a topic of interest to them.

Establishing and maintaining communication with existing organizations proved to be very effective for this project. The coordinator, building off existing email and mailing lists, developed a combined list that connected all those interested or involved in enhancing community safety in the neighborhoods. This insured the timely and thorough dissemination of information and material.

Another strategy employed by the governance committee was their dedication to follow up and follow through on their commitment to action. Community members could voice a concern or a problem they would like assistance in solving. The appropriate governmental agency would agree to look into the situation and come back with more information or with the results of action taken. This practice, which was witnessed first hand by the researcher while conducting this study, seemed to most effective at building trust between government and the community.

COLLABORATION DIMENSION: RELATIONSHIPS

Building relationships was a priority for the members of Project BETA. The geographical area for this project had a history of distrust between the community and government. As recently as 1994, there had been a major event that divided them and reinforced this distrust. However, it appears, as shown by coding results, Project BETA was able to come to resolution as well as establish trust among its members, others in the community, and governmental agencies. One of the key indicators was that the mean score for the interviews in this area was 3 – the score indicated collaboration. People moved beyond the historical mistrust to create relationships of a supportive and productive nature. The governance committee made special effort to build a trusting environment for honest exchange. Project BETA credited success to their willingness and commitment to struggle through historical distrust between the community and the governmental agency. This struggle lasted approximately 2 years. Again, the skills of the co-chairs were mentioned as a significant factor in achieving a positive outcome.

Community members on the governance committee repeatedly commented about the commitment demonstrated by the governmental members. They were willing to be flexible in meeting times and address concerns of the neighborhoods. Mutual trust and support was built. This became obvious when community members stood in support of the work of the governmental agencies when a few residents voiced criticism.

One person described the relationships: "We treat each other like brothers and sisters. We talk about our families. It is like a big family and yet we still get the job done. Even though we are saddened when people leave the committee good relationships are developed with their replacements."

COLLABORATION DIMENSION: VISION

The greatest discrepancies in mean scores occurred when reviewing the vision dimension. The document review produced a mean score of 3.0 yet the mean score for the interviews was 2.1 and the mean score for the survey was 2.6. A closer review of the individual answers on the survey indicated people could have had slightly different perceptions of the vision for the project. This lack of consensus also surfaced during the interviews. There were two strands of "visions" mentioned during the interviews. One vision focused on addressing quality of life issues within the neighborhoods. The other focus was directed toward an organizational pattern to serve crime reduction in the neighborhoods. This could explain the variance in the mean scores.

While the mean scores were not as close in this area as the others, it appears these two views of the vision assisted in the success of Project BETA. The tension created a vibrant working environment that was satisfied when all parties reached agreement on the approach to services.

SUMMARY

Each interview concluded by asking the question “would you do a similar project again?” All thirteen people said yes. All indications lead to the conclusion that Project BETA was successful at adopting collaboration as a way of working. They were creative in their authority structure by having equal representation from the community and the governmental agencies in leadership positions. Roles and responsibilities of members and committees were well defined and clearly articulated. There was regular two-way communication among Project BETA governance committee members as well as other interested parties. They were able to address and resolve conflict, which allowed them to achieve more than any one agency, or organization could do independently. This was all done with the existence of two slightly different visions.

COMPARISON OF CITY ONE'S PROJECTS ALPHA and BETA

Projects ALPHA and BETA were selected for this study because they were implemented in overlapping geographical areas. Both projects were spin offs from other initiatives. As a result, some of the governance committee members of each project had previously worked together.

In 1994, prior to the beginning of Project ALPHA and Project BETA, there had been a major incident in the targeted area shared by both projects that created a schism between some governmental agencies and community members. This did not stop either project from making a commitment to work together.

A comparison of results of six years of work for Project ALPHA and Project BETA is described under each of the dimensions of collaboration.

COLLABORATION DIMENSION: AUTHORITY AND ACCOUNTABILITY

Authority was a significant issue for Projects ALPHA and BETA. Prior to the onset of the work, both projects developed Memorandum of Agreements (MOA) that distributed authority between the governmental agencies and the community organizations for their projects. Both projects experienced conflict during the initial efforts of implementation, but the resolution efforts produced significantly different results.

The administering agency for Project ALPHA interceded with a dictate regarding authority. The first strategy, proposed by the governmental agency, was the introduction of a new MOA that centralized decision-making authority within the lead governmental agency. When an agreement could not be reached regarding the new MOA, a new policy body was created which consisted primarily of governmental and private non-profit agencies. The original governance committee members were placed in an advisory role.

Most of the project directors hired for Project ALPHA used traditional management skills. This included monitoring activities and maintaining control of decisions rather than

facilitating a process to develop shared decision-making. Community agencies involved in the project were “ordered” to come to meetings.

Project BETA took a different approach. The administration of their project was a combination of a governmental and a community-organizing agency. The members spent significant time establishing a decision-making process for shared authority. Information obtained via the interviews indicated this was an extended process that included mutual ‘airing’ of issues and staying with them to resolution. Members credited the leadership style of the Community Co-Chair, which included strong facilitation skills. They also credited the balance of authority shared by the two co-chairs.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

The governance committee for Project ALPHA, comprised of representatives from the three community boards, plus the public agency administering the project, could not reach agreement regarding the operational structure. After several attempts throughout the life of this project to create a workable structure for all the interested parties, all efforts failed.

Three community boards led planning for Project ALPHA. The boards operated independently. Each was in a different stage of developmental maturity. This created an environment where the boards either had or did not have the prerequisite skills required for fiscal management of the project. It appeared from the document review and the interviews there was limited across-neighborhood planning.

The work for Project BETA predominantly occurred within one community. The governance committee had representatives from each of the neighborhoods and worked within existing structures to accomplish their work. Public agencies were also represented on the governance committee and worked closely with the project.

The administering agency for Project ALPHA elected to hire a Project Director, while the administering agency for Project BETA elected to hire a Coordinator. Director

and Coordinator connote different emphasis; one was more directing of activities, the other offered a supporting role.

COLLABORATION DIMENSION: COMMUNICATION

During the planning for the grant, communication was free flowing among the people working on Project ALPHA. Dissention seemed to begin when the project was officially funded and communication became more formal. Letters were sent documenting complaints, instead of talking with the person involved directly. The Federal program officer got involved. The media printed a story hinting to breakdown in communication. The means of resolution was a directive from the administering agency as well as a change of organizational structure for decision-making.

Project BETA had communication challenges in the beginning, too. The issue was caused by the interpretation of the intention of the grant. The community believed it was an attempt by the governmental agency to invade their neighborhoods and target their youth. This was based on past negative experiences between the community and the governmental agency. The people interviewed credited the willingness of the governmental agencies to truly listen to community concerns and remain at the table through those discussions. Other behaviors that created trust by community members toward governmental agency representatives was generated by their willingness to attend evening meetings and follow up on concerns as they surfaced during the discussions.

Project BETA had a very well developed communication system established and maintained by the project coordinator. There were extensive mailing lists and email lists used effectively to keep people informed and to gather feedback from the community.

COLLABORATION DIMENSION: RELATIONSHIPS

The most striking difference between Project ALPHA and Project BETA was the strength of the relationships between the people on the respective governance committees.

Some members from the original governance committee for Project ALPHA were still angry with others at the time of the interviews. 7 of the 11 people interviewed said they would not do it again, primarily because of their dissatisfaction with the way they were treated by the lead governmental agency relative to their involvement with this project.

The relationships between Project BETA's governance committee members were excellent, with strong allegiances between people within the community and with the governmental agencies. Every person interviewed indicated they would do a similar project again.

COLLABORATION DIMENSION: VISION

The Project ALPHA members were extremely committed and had a clear vision for their project. However, they could not create a cooperative working atmosphere to actualize this shared vision. Despite these observations, they expressed their commitment to addressing the needs of youth in their community through other avenues.

Project BETA struggled with what seemed to be dual visions – one that focused on safety and one that focused on community development. Their relationships provided the impetus for them to work closely together in all their efforts without the apparent need to resolve this dual vision status.

SUMMARY

Project ALPHA and BETA operated in a community that was committed to serve those unable to serve themselves. This was conveyed from governmental agency representatives and community representatives. Their passion for their work was clearly present. It was not possible to know if collaboration could have occurred in Project ALPHA due to unresolved conflict. The opposite was true for Project BETA – they were able to collaborate because of their commitment to address and resolve conflict.

SECTION TWO

CITY TWO - PROJECTS GAMMA AND DELTA

City Two is the largest city in the state and the commercial, industrial, and financial center of the region. The landlocked harbor has made this city one of the major ports in the United States. City Two is the region's commercial and transportation hub and the center of manufacturing, trade, and finance. Its major industries include lumber and forest products, fishing, high technology, food processing, boat building, machinery, fabricated metals, chemicals, pharmaceuticals, and apparel.

70% of the populations within the target area were people of color. The target area for City Two was the center for the city's African American community and growing Asian/Pacific Islander population. The area was experiencing extreme economic and social deprivation with a poverty and unemployment rate 3 times the average for the total region. All of the area's low-income housing was in the targeted area for these projects and represented 20% of the total population for the area.

PROJECT GAMMA

The goal of Project GAMMA was to improve the lives of families by governmental agencies and community organizations working together to provide services that have proven effective for at-risk youth and their families. One of the challenges facing this project, though, was that the administering agency was the city while juvenile justice was a county responsibility. This was a challenge because of the traditional "stove piping" that occurs where agencies or organizations have clearly defined parameters for their work.

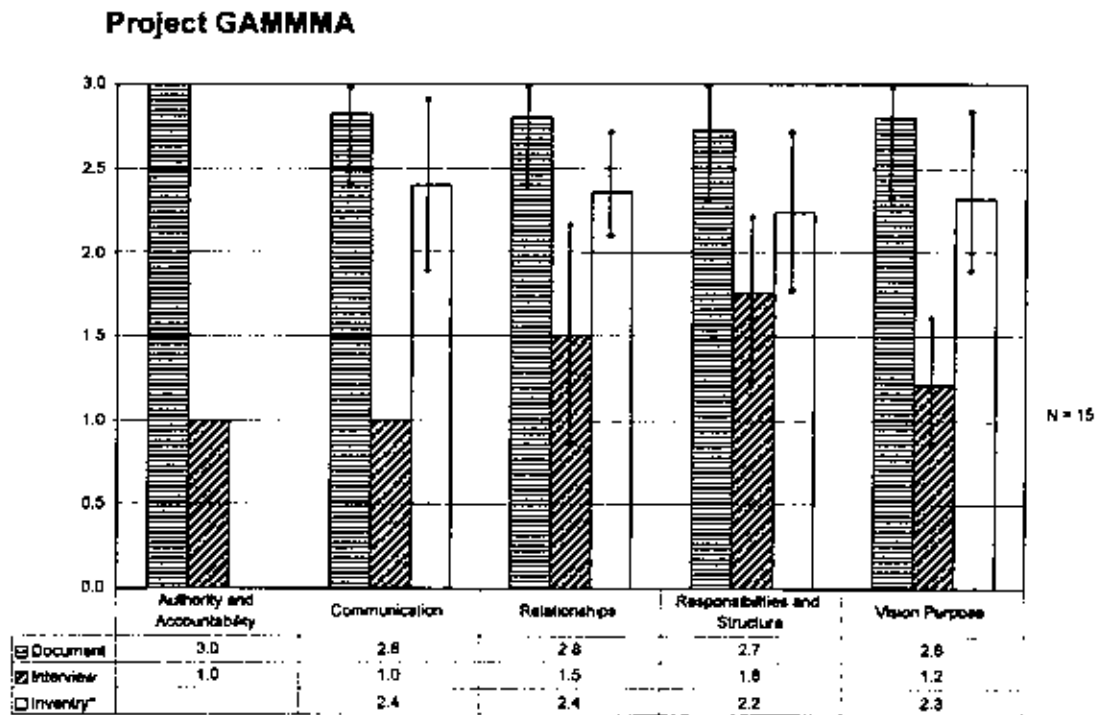


TABLE TEN: Means and Standard Deviation Results for Project GAMMA Coding. . "1" represents cooperation; "2" represents coordination; "3" represents collaboration.

Table Ten illustrates the mean scores for the coding of the three sources of information used for this study: content analysis, interviews, and surveys for Project

GAMMA. A 3-point scale was used with 1 representing cooperation, 2 representing coordination, and 3 representing collaboration.

The results indicate that the documents reviewed cited more examples of collaboration than were evidenced through the interviews and completed surveys. It also shows the mean score for the interviews was lower than the mean scores for the document review and inventories in all areas. For example, the mean score for authority and accountability obtained from coding the documents was 3 while the mean score in the same area obtained from the interviews was a 1.

Information obtained from the documents, interviews, and inventories were used to assist in providing further explanations for the results of the coding and scoring. The dimensions of collaboration were used as the structure to present the findings.

COLLABORATION DIMENSION: AUTHORITY AND ACCOUNTABILITY

As previously noted, there was a significant variance between the mean scores for the document review and the interviews with the mean score being 3.0 and 1.0 respectively. The standard deviations in the coding results were 0.0 for the document review and the interviews.

Responses gained through the interviews suggest that the people involved with this project felt as if they were supporting the work and not directly involved with the implementation of the work. They viewed their role as a reviewer of work rather than an active participant in the process. The governance committee did not appear to develop ownership of Project GAMMA. They did, however, support the work of the project. The interviews indicated the governance committee did not feel like extending authority was an issue simply because it was not viewed as their project.

The mean score of 3 from the document review could have resulted because the person providing staff support was the individual who wrote the reports. The staff person was extremely efficient and created a fairly elaborate organizational structure. Shared

authority only occurred on paper as reflected in the reports. This was not the intention of the staff coordinator but was the apparent outcome.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

Project GAMMA had a well-developed organizational chart as illustrated in Diagram Four.

Project GAMMA Organizational Chart

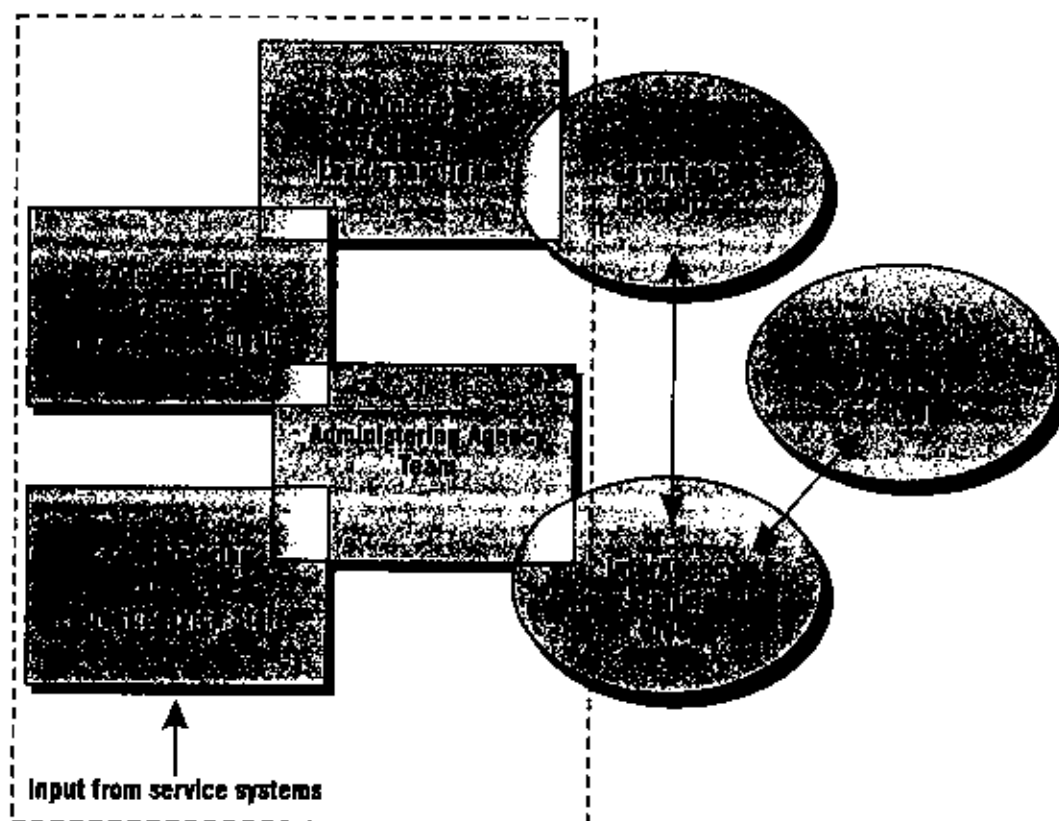


DIAGRAM FOUR: Project GAMMA Organizational Chart

Project Gamma had a governance committee and an interagency staffing committee. A consultant was hired to work with the governance committee and the interagency staffing committee to establish protocol for conducting business and ensuring integrity in their problem solving process. An interagency staffing committee member described it this way... "A consultant helped facilitate the procedural type of things and how decisions were to be made. We did some formal group structuring to help us move forward. It stopped us from getting bogged down with Robert Rules of Order."

However, this did not resolve the confusion between the roles of the governance committee and the interagency staffing committee. Comments in the interviews suggested that it was not clear who was directing the project. The role of the interagency staffing committee was described as "serving as the first line for program development and review plus providing hands-on guidance and direction" with direction being the operative word.

There is some speculation that the confusion may have been caused by the significant involvement by the administering agency. Often the complaint is that project work is not incorporated in the work of the agency. The organizational chart for Project GAMMA would suggest the opposite. This was not necessarily a negative factor. Significant work continued after completion of this project spearheaded by the administering agency for Project GAMMA.

The project coordinator had the skills to provide extensive information to the members to use in decision-making. This did provide an environment for informed decision-making, though at times, members felt they were given too much information to absorb prior to a meeting. Although members responded to the material at meetings, several people said they could not recall making any decisions. They recalled only discussing issues, but not making the decision. It appeared from comments in the interviews that they valued the work of the coordinator but did not feel as if it was their work or their project.

One of the situations faced by this project was the lack of significant numbers of decision makers attending their meetings. This project had a very active interagency staff committee to accomplish day-to-day work. The ability to institute new ways of working,

though, was slow in coming due to the layers of authority one had to go through to get a decision. One member said "The farther down the food chain the longer it will take to come to fruition."

In terms of this research, Project GAMMA did not demonstrate collaboration in the responsibilities and structure dimension. The results would more closely align with coordination.

COLLABORATION DIMENSION: COMMUNICATION

The mean scores suggest a discrepancy between the perception of communication from the document review and the interviews. The variances in the results may be explained by adherence to communication patterns that existed prior to the project – formal and informal – and the inability of the governance committee to create new patterns.

Governance committee members were asked specific questions regarding with whom they had contact with outside of Project GAMMA meetings as well as how often and what in what form. Most communication occurred during meetings. No process was implemented to encourage more communication. The interview responses suggest that although members had limited interaction outside of meetings they wished there had been greater contact with each other.

COLLABORATION DIMENSION: RELATIONSHIPS

Project GAMMA had a challenging beginning. The Federal Initiative directed local jurisdictions to create a continuum of services to be integrated with the juvenile justice system. The county manages juvenile justice in this jurisdiction; however, the money went to the city. Dissatisfaction from the county initially prompted the county juvenile director at the time to contact the Director of the Federal Agency requesting that the funds be redirected to the county.

The city was creative and committed to building a relationship with the county. First, they supported county efforts by providing technical assistance and second, acknowledging the county's expertise on juvenile justice issues. The city limited work to conform to the infrastructure established by the county. This avoided duplicating work with the county. During the interviews, the county and city personnel indicated they now have a solid working relationship.

Members of the governance committee spoke highly of their colleagues. The interviews indicated people liked each other and wanted the work to be successful.

A unique feature of Project GAMMA was contracting with a private consultant to develop an operating structure, a process for resolving conflict, and to facilitate conflict if it arose. The consultant, in conjunction with the administering agency personnel, was instrumental in creating an organizational structure that could manage a very complex project and was available to work with the governance interagency staffing committee as they worked together in developing and implementing their programs and services.

COLLABORATION DIMENSION: VISION

As evidenced in the mean scores from the coding exercise, the responses during the interviews, the information provided in written documents, and the survey were significantly different.

There was a shared vision among the administering agency personnel who were involved with this project. Project GAMMA had the benefit of several city staff working on the project plus the capability to obtain additional resources if needed. Staff persons were very competent and committed to improving services for young people. Through their work on the project they developed a vision for serving at-risk youth. Legislation is being proposed that was born out of this work. This was their vision though and a few others.

The governance committee members were not as grounded in this vision and did not own the work. This could have been because of the unusual number of staff working on the

project from the administering agency. It could also have been because of the initiative itself. As voiced during the interviews and cited in an evaluation of Project GAMMA, there was difficulty developing a focus and purpose because of the diversity and extensiveness of the Federal initiative requirements. The survey responses suggested that there was some clarity but not complete assurance that there was a shared vision.

SUMMARY

The interview process concluded with each person being asked if they would do a similar project again. Eight said yes, three people said maybe, and one person said no. The division of answers could have been related to the planning and implementation approach to a very complex project. Quarterly reports documented significant effort was spent managing the implementation of this project that was a culmination of several Federal Initiatives, each with their own expectations and requirements.

It could also have been because the sense of responsibility for and success of Project GAMMA was not shared by the governance committee. Those who participated had a sincere desire for the project to be successful, however, they did not own the outcome of the effort.

PROJECT DELTA

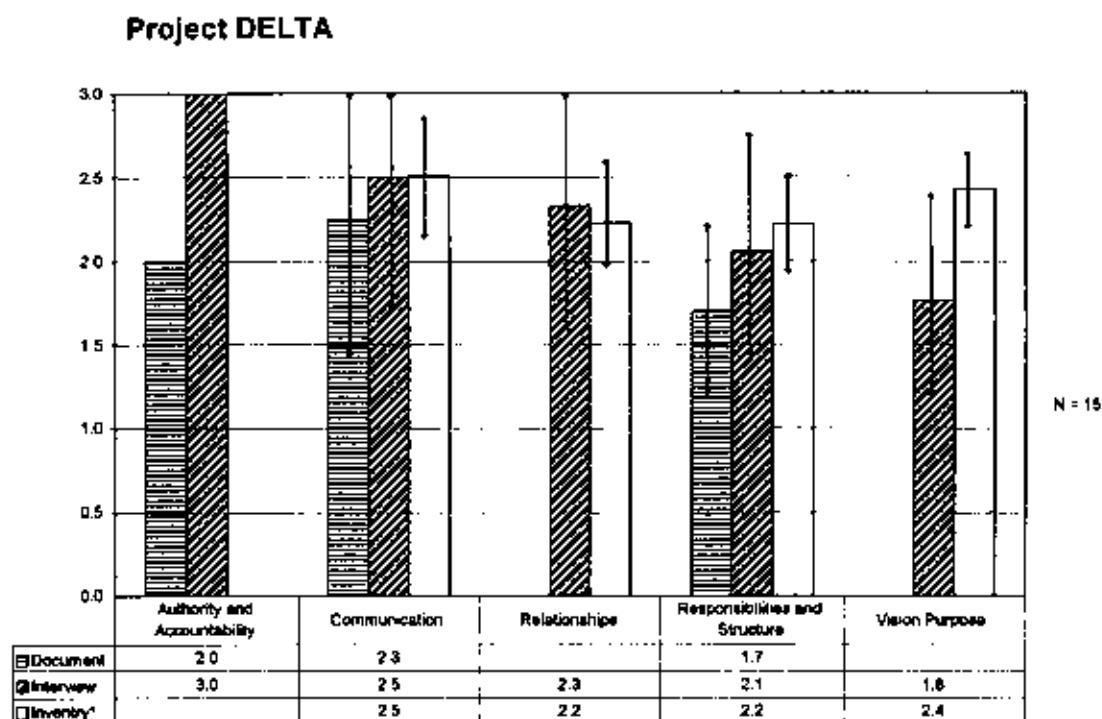


TABLE ELEVEN: Means and Standard Deviation Results for Project DELTA Coding. , "1" represents cooperation; "2" represents coordination; "3" represents collaboration.

Project DELTA was a new project for the targeted area. The goal of Project DELTA was to increase public safety and enhance the quality of life in a high-crime area through collaboration between governmental agencies and the community.

Table Eleven illustrates the mean scores for the coding of the three sources of information used for this study: content analysis, interviews, and surveys for Project DELTA. A 3-point scale was used with 1 representing cooperation, 2 representing coordination, and 3 representing collaboration.

All the mean scores for the content analysis, interviews, and surveys, except for one, fall between 2.0 and 2.5. The documents that were available for this project were not sufficient to get information associated with the relationship and vision dimensions. Explanations of the results of coding are used to further explain the findings, using the dimensions of collaboration for the structure to do this.

COLLABORATION DIMENSION: AUTHORITY AND ACCOUNTABILITY

The mean score for the document review and interviews were 2.0 and 3.0 respectively and both had a 0.00 standard deviation. The variation in the mean score may be partly attributed to the evolution of authority within Project DELTA.

A governmental agency submitted an application requesting funding for Project DELTA in their community. Unfortunately, the project was viewed as an intrusive by the community, resulting in considerable community resistance at the inception of Project DELTA. The lead governmental agency worked diligently to overcome this challenge. Acceptance was largely dependent on the community feeling they had a significant role in the work. This was addressed by adding community members as well as additional governmental agencies to the governance committee. Project DELTA authority structure was still evolving at the time of this study.

The governance committee at the inception of the project did not address shared authority. Even though the project had decision makers on the governance committee, there was not a structure for collaborative problem solving, thus people worked independently. Lacking was a full-time staff person to assist in bringing members together to share in problem solving and decision-making.

The project evolved to its current structure of co-chairs – one representing the communities and the other representing government. Ad hoc subcommittees were formed when an issue arose and/or a problem needed to be solved. All subcommittee work was

presented to the governance committee for final approval. This illustrates a leaning toward a collaborative approach to working.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

Project DELTA was still in transition at the time of the interviews. Their organizational structure was still being solidified. As a result, it was not possible to predict if the project would eventually demonstrate collaboration through their agreed upon roles and responsibilities.

The original governance committee members were decision makers but it did not appear that there was a structure for conducting work. There was not a set meeting schedule, and when the committee did meet, they were not clear about what was supposed to be accomplished. When the governance committee was restructured, regular meetings were scheduled and an infrastructure was developed for sharing information and making decisions.

One of the most significant changes for Project DELTA was the transition from the lead agency assuming all coordinating activities to a community-organizing agency being contracted to provide this service. This is significant for at least two reasons. One, community organizations were concerned. Based on past experiences, they did not completely trust the lead agency and welcomed having another agency manage this function. Second, the coordinator that worked for the community organization and was assigned to work for Project DELTA had the prerequisite coordination skills that could assist the project in interagency problem solving. The importance of having a skilled coordinator was mentioned often throughout the interview process. Several members credited this person for getting the project moving in a more coordinated manner by developing a community process that kept people at the table and coming to meetings. In regards to decision making, most people said the coordinator's recommendation was usually supported and no one seemed concerned with this process. The coordinator suggested this well could have been because the members believed in the integrity of the project.

Project DELTA built interest and involvement by assigning tasks to subcommittees consisting of those involved with the problem. The governance committee would prioritize problems. An ad hoc subcommittee would be created and be responsible for proposing a solution or course of action to the governance committee.

Governmental organizations appeared to create frustration for some community organizations. When one person was asked what could kill the project, she indicated "Working for a bureaucracy would make you lose energy by having a foot on your neck. It does not reward creativity. It does not reward deinstitutionalization."

A board retreat in the second to last year of the project appeared most useful in strengthening the relationship between governance committee members. It was not clear at the time of this study if Project DELTA had developed the infrastructure necessary to sustain itself after the funding is gone. A member said "My gut feeling is that the collaboration does not run deep so this project will not be sustained but will need to ride on the coat tails of the other projects in this area." The bottom line... "Are they committed enough to invest the necessary time and energy to move the work forward without funding?"

COLLABORATION DIMENSION: COMMUNICATION

Communication was a major factor for this project. The original proposal submitted for funding lacked involvement of those who would be affected by the outcome. The community felt "put upon" by the primary governmental agency and was very apprehensive about the true intent of the project. The Director of the agency that was responsible for administering Project DELTA immediately began meeting with the community to address their concerns. Adjustments were made on the governance committee to achieve a better balance between governmental and community representation. The current communication structure is maintained by the coordinator who is the point person for the members in regards to information.

Communication continues to be an area that needs attention. Governance committee members voiced concerns during the interviews regarding the lack of awareness regarding the existence of Project DELTA. They indicated that their outreach to the community could be better. One member mentioned that the community didn't know about the project even though it had been around for a few years. She said, "We need a public strategy that has legs." Another member addressed it differently by saying she gains community involvement by asking them "What is different now?" By so doing it forces residents to take the time to acknowledge the changes instead of being struck with a prior perception.

Another positive outcome of the retreat mentioned earlier relates to communication. Members requested that they have ample time to review material before a meeting where a decision will be made. The coordinator promptly addressed this change. An interesting aspect of the communication for Project DELTA was a requirement of those agencies that received funding from this project. They were required, as a condition of funding, to establish and maintain communication with the other projects receiving funding.

COLLABORATION DIMENSION: RELATIONSHIPS

The governance committee members were respectful in their comments toward others in the group. The coordinator nurtured healthy relationships among and between committee members. One member said, "The work is personality driven. You can have a terrible structure but with the right person it will work. Or, you can have a great structure but with a bad person it won't work." Another person said, "The commitment is deepening as the relationships deepen". Resolving conflict is a factor of collaboration. The governance committee had a situation arise that could have dismantled the work they had accomplished. A member needed to be removed from the committee. It was a difficult decision. However, it was possible to reach resolution in a respectful manner. Another role was found to capitalize on the person's input. A unique feature to this project was the theme that was present during the interviews. The governance committee members

emphasized the importance of holding themselves accountable by following through on their agreements. They said by doing this helped to build trust in the work and in each other.

COLLABORATION DIMENSION: VISION

This committee did not appear to be united on their vision for Project DELTA. It is not clear if it was because of historical distrust between the primary agency and the community or if it was due to the dual purpose of this initiative. Members knew the vision defined by the initiative, however, it was evident they did not embrace this definition. People were not turning to Project DELTA for problem resolution. Instead, preference was directed toward other similar organizations within the community.

SUMMARY

Asking the person if they would be willing to be involved with a similar project concluded each interview. 11 of the 12 people interviewed said yes. The negative vote was the person who represented the lead governmental agency was prompted by an unmanageable workload.

Project DELTA exhibited behavior that is closely associated with coordination. Healthy relationships were established, a communication process was being implemented, a structure was being solidified and members were working toward shared-decision making. Even with this, it appeared Project DELTA might not survive because of the lack of a cohesive infrastructure. It was evident though that Project DELTA would be fertile ground for learning for other projects.

COMPARISON OF CITY TWO'S PROJECTS GAMMA AND DELTA

Project GAMMA and Project DELTA were selected because of implementation in overlapping geographical areas. Project GAMMA focused more on meeting the needs of Asian American youth. Project DELTA directed focus toward the needs of African American youth. Both projects began using a traditional bureaucratic approach with the governmental agencies taking the lead in staff activities. This continued for Project GAMMA. Project DELTA opted to change their strategy by contracting with a community-organizing agency to provide staff support and to help in strengthening collaboration.

The dimensions of collaboration are used as the framework to discuss similarities and differences of the findings between the two projects.

COLLABORATION DIMENSION: AUTHORITY

If one were to rely only on Project GAMMA documents, it would appear authority was not an issue for Project GAMMA. However, a different perception is created from the interview responses. Mutual authority was assumed by the administering agency but not understood by the governance committee.

One of the interesting dynamics of Project DELTA was no one seemed to want to be "in charge." The members were very comfortable working together on this project. This might have been because this project had yet to reach a point where any agency was expected to do something significantly different than what they were already doing.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

There was significant difference in the staffing for Project GAMMA and Project DELTA. Project GAMMA had several people from the local administering agency that were actively involved with the project, including people in decision-making positions. This permitted additional assistance for special requests and resources to complete work

associated with the project. For example, the city, in their efforts to build an alliance with the county, arranged for a staff person to assist the county in the completion of a juvenile justice plan.

The cluster of very talented staff from the same division within the administering agency created numerous opportunities for discussions regarding future work. These discussions laid the groundwork for the drafting of very innovative legislation. If passed, it will have a significant effect on the way work is conducted.

Project DELTA, on the other hand, was not rich in staff resources. The staff contact from the lead agency was, and continued to be, overburdened with responsibilities. Another project assigned to her put her in the position of having conflicting priorities. She was the sole person who said she would not elect to do this project again.

The primary governmental agency for Project DELTA assigned a staff person to do reports only associated with the work involving her agency. Someone else completed work involving the communities. This staffing structure was not conducive to building a working relationship with the community and eventually was changed. A community organizer was hired to coordinate efforts. The person also had the prerequisite talent and skills to effectively assist in building a bridge between the public agencies and the community. The interview comments suggested this was working well, but there was some concern that this structure may not have been in place long enough to sustain Project DELTA without federal funding.

COLLABORATION DIMENSION: COMMUNICATION

The interview responses suggest meetings and meeting material was the primary communication for Project GAMMA. Governance committee members stated they had limited contact with other members beyond the meetings unless paths crossed at another meeting. This may have been partly due to the coordinator assuming responsibility for

information sharing and member contact. It may also have been because the members did not have a sense of unity on this project.

The staff person for GAMMA was very prolific in her meeting material. Governance committee members always felt there was sufficient information to make decisions, in fact, at times, the amount of information was overwhelming.

Initially, a communication plan was not in place for Project DELTA. This changed with the contracting of a new staff person who was tenacious in her vigil to garner the involvement of all committee members. The governance committee appreciated this very much, however, it was expressed during their retreat the fourth year of the project that gaining access to information sooner would have assisted them in making decisions. This change occurred.

Project DELTA members worked carefully on creating a communication process connecting the various community committees and groups working on similar issues. This was largely due to the decision to have the community organizer assume the role of Project Coordinator. The coordinator, along with two colleagues, staffs the other community groups, creating a natural communication channel. They have also worked to create stronger communication links among the governmental agencies and the community.

The members of Project DELTA established a culture that encouraged direct and open communication. This was a focus of their retreat, which reflects their ongoing commitment to maintaining healthy interaction with each other's.

Governance committee members from Projects GAMMA and DELTA credit their respective staff for their progress as well as some of the accomplishments. It is interesting to note that the staff persons for the two projects used different approaches to accomplish their work.

COLLABORATION DIMENSION: RELATIONSHIPS

One of the most striking comparisons between Projects GAMMA and DELTA was the demonstrated respect and interest in working together. During the interviews, and in the survey results, people emphasized the congenial working relationships that existed in both projects.

This is interesting and notable since both projects started under the veil of controversy. Project GAMMA was administered by the city. The primary target population to be served by the grant was managed by the county. The dissension culminated in the county juvenile director approaching the Director of the Federal agency that funded the project and demanding that the funds be redirected to the county. Fortunately for Project GAMMA, the old director left her position and a new juvenile corrections director was hired. The lead agency took this opportunity to revisit the relationship. It was possible to move past the original conflict even though the county department still believes the project should have been administered from their agency.

Project DELTA was initiated by a governmental agency without adequately preparing the community. This resulted in significant disruption from community members who were distrustful of the 'real purpose' of the project. This resulted in protests and complaints filed with the city council. Various strategies were tried by the administering agency, eventually ending on a positive note with community and governmental agency personnel working jointly together on this project.

COLLABORATION DIMENSION: VISION

The coding suggests Projects GAMMA and DELTA had mixed results in their efforts to develop a shared vision. Both projects had different results from the survey and the interviews with very little overlap of responses as measured using the standard deviation.

The reason for the discrepancy is different. Project GAMMA was very well staffed and because of this, they completed most of the work. Governance committee members

were not forced to struggle with resources or altering their current practices. As noted in the interviews, the “staff did the work and they responded.” This may have affected their ownership of the results or belief that it was their vision.

Project DELTA struggled with an initiative, which appeared to have conflicting goals. The coding results suggest that the governance committee members are still not united around a single vision.

SUMMARY

One of the most striking similarities of these two projects was how polite and respectful everyone was to each other. It appeared there was a shared desire for each person to be successful in his or her endeavors. This courtesy, though, may have been part of their challenge to move beyond existing relationships and processes to institute a new way of working.

SECTION THREE

COMPARISON OF PROJECTS FUNDED BY SAME INITIATIVE

INITIATIVE 000 - COMPARING PROJECTS ALPHA AND GAMMA

Initiative 000 sought to prevent and control youth crime and victimization through collaboration efforts that created a seamless multidisciplinary continuum of care. It was believed youth would be better served through a joint response to problem solving. This was a very complex initiative bringing together several different Federal funding sources and expectations. Project ALPHA and Project GAMMA struggled with this complexity and expectations.

Project ALPHA and Project GAMMA, while funded by the same initiative, had very different experiences. Governmental and community agencies came together to create Project ALPHA and had a shared vision regarding this project. However, they were unable to move beyond this point. Interviews were done in the sixth year of this project and people were still not speaking to each other. Two refused to be interviewed.

It was evident during the interviews that occurred after the fifth year of Project GAMMA that governance committee members supported the efforts of the lead agency, but did not necessarily view this as their project. More information is provided in the discussion of the results in each dimension of collaboration.

COLLABORATION DIMENSION: AUTHORITY

The inability to share authority was the collaboration dimension that prevented Project ALPHA from moving past cooperation among its members. It appeared from the documents and the interviews that there was either a refusal or inability of the administering agency to work with the governance committee in establishing even a semblance of shared

decision-making. This was not a judgment against that decision but an acknowledgement of the impact.

Projects ALPHA and GAMMA's mean score for the interviews was the same – 1 for cooperation. While they received the same score, it was for different reasons. The difference was most likely due to the way authority was obtained. The governance committee for Project ALPHA believed they were the authority and it was taken from them. The governance committee for Project GAMMA believed and accepted that authority rested with the lead agency. The members accepted serving in a supporting role.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

Projects ALPHA and GAMMA had two similarities in the responsibility and structure dimension. One, members from both projects acknowledged the challenge of “silos” and the need to address this in their work. Two, members of both projects talked about the complexity of the initiative and the strain put on the local jurisdictions to implement the prescribed models of intervention. They talked about the barrier to doing work differently when the Federal government dictates how the money is allocated instead of giving flexibility to local jurisdictions. One person suggested the Federal government work more closely with private foundations such as the Annie E. Casey Foundation. Private foundations can fund promising practices and then the Federal Government can evaluate them or begin to fund them.

The projects had very different experiences and approaches to addressing responsibilities and structure. Project ALPHA changed directors six times. This resulted in constant cultural change for Project ALPHA as well as time needed for acclimation. These changes group development. One questioned: “Why so many directors?”

Project GAMMA had one coordinator throughout the life of the project. This added stability to the work and a mechanism for continuity when members left or were added to the governance committee.

The organizational structure for Project ALPHA seemed to be in constant flux. It was also used to “control” or “direct” (based on who was interviewed) the work of the project and the work of the governance committee. As mentioned earlier, the governance committee for the ALPHA Project was removed or redefined (again, based on who was interviewed) and replaced with another body. The organizational structure for Project GAMMA did not change.

The administering agency for Project ALPHA assumed responsibility for operations and all administrative work. Project ALPHA had significant community involvement in their original governance committee. This waned as the project progressed.

Project GAMMA created an interagency staff team to complete the work needed for the project. Project GAMMA had more public and private agencies represented on their governance committee and seemed less likely to challenge the traditional bureaucratic model to conducting work.

COLLABORATION DIMENSION: COMMUNICATION

There was a lot of communication at the inception of Project ALPHA. When the conflict started, the channel of communication changed and became more formal usually through written correspondence. Communication on Project ALPHA became primarily one way – from the administering agency to the governance committee. Most members did not feel they had a part in decision-making.

Communication for Project GAMMA was also primarily from the administering agency to the governance committee. The members viewed it differently. They appreciated that the coordinator kept them informed and provided them information regarding upcoming decisions. The interview responses suggested that members did not necessarily

feel part of the decision making process, but their support was needed for the work of the project.

COLLABORATION DIMENSION: RELATIONSHIPS

The relationships among members of Project ALPHA were very strained as evidenced in the results of the coding. There were significant trust issues that prevented the governance committee to move forward or to resolve their differences regarding the organizational structure. Governance committee members participation was very sporadic after the second year of the project.

The members of Project GAMMA governance committee liked each other as is evidenced in the results of the coding. The interview responses suggest though, that they had not developed a sense of camaraderie regarding the work of this project though.

COLLABORATION DIMENSION: VISION

As is evidenced in the coding results, the governance committee for Project ALPHA moved toward coordination in their vision for the project. Even though there was much dissension among members, they shared a commitment to creating an environment that is healthy for youth.

The mean score for the vision dimension was the lowest one received for Project GAMMA. Members of the governance committee worked well together and supported each other, but did not seem to own this project.

SUMMARY

Project ALPHA and Project GAMMA had several significant differences. One of the major differences was staff support for the project. As evidenced by the organizational

chart, Project GAMMA was extremely well staffed for this project. The lead agency ensured that the work was built into the work of the entire organization.

This was not the case for Project ALPHA. It is not clear if this was because the lead agency underestimated the amount of resources it would take to administer such a complex project or if they believed they had the appropriate amount of staff and the problem was created by something else. This "something else" was the ongoing conflict between the governance committee, primarily the community representatives, and the lead agency. The inability to address and resolve this conflict prevented Project ALPHA from proceeding as planned. As mentioned, they had several directors over the life of the project with imposed sanctions by the lead agency.

Project GAMMA did not have this type of conflict. It is not clear though, if this lack of conflict was more as the result of the lack of a shared vision. Conflict probably would have arisen if each member of the governance committee had been committed to implementing a continuum of services that would have required some shifting of responsibilities.

It is important to note that Initiative 000 was a very complex initiative that had some dynamics that may not be present in less complex initiatives.

INITIATIVE 111 – COMPARING PROJECTS BETA AND DELTA

Initiative 111 is described as “the power is in the partnerships.” The federal agency describes the intent of this initiative is for local jurisdictions to develop a network that is more powerful as a group than any one individual agency. This is done by bringing players to the table that may not work together regularly and/or may not understand the goals of the other agencies working on the project. The act of working together will make the system more effective in preventing and reducing crime.

The federal sponsor for this initiative acknowledged that before work could begin on program development, time was needed to build relationships with other members of the project. Project BETA took this very seriously and spent nearly two years developing and establishing these working relationships. It was reflected in their collaboration results.

Initial work on Project DELTA was not this focused. The project began with familiar partners who had established a cooperative relationship. It became evident that this initial model unintentionally excluded other agencies and community representatives. The project went through several transitions and was still being solidified at the time of the interviews.

The five dimensions of collaboration are used as the framework for comparing Project BETA and Project DELTA.

COLLABORATION DIMENSION: AUTHORITY

Authority was shared in Projects BETA and DELTA. Both projects expended significant energy building involvement of all members on their governance committees. Project BETA though, demonstrated commitment to share decision-making and consensus building as documented in their by-laws.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

There was an opportunity to attend meetings of the Beta and Delta Projects. Project BETA meetings were well attended by decision makers and community members. The meetings were structured and included guest speakers. Project DELTA meetings had a much smaller turnout and it appeared more of the implementers were present than decision makers. The process was much less dynamic.

There is a structural difference between these projects. Project BETA had the same organizational structure throughout the life of its project. The difference in function and work of their governance committee and community meetings was clearly defined.

Project DELTA's structure evolved over time. Originally the governance committee consisted of only governmental agencies. A community advisory group was formed to offer assistance to the governance committee. This structure did not work. The governance committee was not well organized or very involved with the work of the project as evidenced by the irregular meetings. The community had its own structure for work. This included other meetings that focused on community issues. Coordination was eventually achieved when the decision was made to contract for coordination services with the same agency that provided coordination services for the other community meetings.

Project BETA and Project DELTA served neighborhoods with a high crime rate and signs of urban decay. Both projects had been in operation for over 5 years but were in different places in their evolution, partly due to the lack of an agreed upon structure for conducting the work of Project DELTA.

COLLABORATION DIMENSION: COMMUNICATION

Project BETA had an extremely comprehensive communication plan. The governance committee built off of existing communication channels to ensure flow of information to and from the members and from others interested in the work of Project

BETA. People were kept informed of progress, upcoming meetings with meeting agendas, and a means to ask for information.

At the time of the interviews, Project DELTA had initiated a fairly good communication plan with neighborhood associations. They also used existing communication channels to send and receive information. One of the major differences between the two projects was that Project BETA maintained communication with a broader spectrum of stakeholders and interested parties. Communication for Project DELTA occurred primarily between the governance committee and selected neighborhood associations.

COLLABORATION DIMENSION: RELATIONSHIPS

Relationships were exceptionally strong among the governance committee for Project BETA. This is credited to the significant time spent at the beginning of this effort to address and resolve ongoing conflict based on past relationships and an incident that occurred prior to the onset of this project. It is evident that they were able to resolve this conflict and move forward together. They received a mean score of 3 in the interview and document review coding. They also received 3's in the areas associated with relationships on the survey.

While it was not documented in the files, it was evident during the interviews that relationships were important among members of the governance committee for Project DELTA. They liked each other and were committed to strengthening the services to youth and their community. Their commitment was demonstrated by their willingness to arrange and attend a weekend retreat focusing on strengthening relationships, surfacing and addressing concerns of members, and revisiting their mission.

COLLABORATION DIMENSION: VISION

As mentioned, Project DELTA was continuing to work on creating a shared vision at the time of the interviews. Information gathered through the interviews noted that members of Project DELTA talked about the struggle to communicate the worth of the project to those who were not involved with the effort. It appeared this was partly due to some lingering concerns about the intention of the primary governmental agency involved with the implementation of the activities for this project.

Members of Project BETA were committed to this project. Coding results illustrated that people may not totally share the same vision for the project but this has not affected their commitment to the work of the project, their colleagues or their community.

SUMMARY

Project BETA modeled collaboration in all dimensions of collaboration. They had a comprehensive communication plan reaching beyond the people involved with the project, a commitment to consensus-building and shared decision-making, a well established organizational structure, and relationships that extended beyond the work of Project BETA to concern for each person as an individual.

Mean scores would suggest that overall, the work on Project DELTA was more closely associated with coordination. Most of the mean scores fell between 2 and 2.5. The challenge to collaboration for Project DELTA seemed to be largely due to the lack of a clear organizational structure that delineated roles and responsibilities. The relationships assisted in keeping people at the table while they went through continual transitions until they found a structure that worked for them.

SECTION FOUR

GENERAL DISCUSSION

Section Four provides an overall view of the four projects noting similarities and differences that may have affected the degree of collaboration. Table Twelve provides a brief descriptor of each dimension of collaboration for the four projects.

	ALPHA	BETA	GAMMA	DELTA
AUTHORITY	MOA Top Down Assumed by lead agency	MOA Co-Administration between govt and community	Assigned to Lead agency	Unclear
RESPONSIBILITIES AND STRUCTURE	Assigned by lead agency Directed by project coordinator In constant flux	Built off existing structure Co-chairs - govt and comm. Managed by coordinator Responsibilities shared between governmental and community organization Well staffed Decision-makers involved with project	Significant governmental and private non-profit involvement Significant involvement by lead agency Managed by coordinator More traditional bureaucratic structure Well staffed	Limited staff resources In transition at time of study Responsibilities shared between governmental and community organization
COMMUNICATION	Initially free-flowing Became one-way	Distrustful in beginning Became two-way Shared decision-making	Very prolific staff Mostly one-way	Two-way
RELATIONSHIPS	Residual anger	Respect among members Able to address and resolve conflict	Respect among members Able to address and resolve conflict	Respect among members Able to address and resolve conflict
VISION	Desire to serve youth and their community Did not have a shared vision for this project	Dual visions - safety and community development	Did not have shared vision	Dual vision - safety and community development

TABLE TWELVE: Overall Project Review

COLLABORATION DIMENSION: AUTHORITY

The literature results suggest shared authority and decision-making are required for collaboration. The projects that relinquished some real or perceived power to other agencies and/or organizations proved to be the most successful in collaboration efforts. This required the decision makers of the involved agencies and organizations to come to agreement regarding the conditions under which authority would be shared and the identification of decisions that could be made jointly. The decision makers determined which decisions were agency specific and which decisions could be discussed and made with others. This made it possible for projects to collaborate. These conditions prevailed within Project BETA. Authority issues became the downfall for Project ALPHA. Agreed authority could not be resolved within this project.

Collaboration can be difficult if a shared authority has not been agreed upon and supported by those involved with the work. This was the condition which existed with the Project GAMMA governance committee. Committee members failed to challenge the authority or decision-making protocol for the project. Instead, they opted to "go along" with what was proposed. It is not clear from this study what caused this dynamic. It could be due to numerous reasons such as not wanting to "make waves" or not being invested enough to want to be more involved. Whatever the reason, this approach hampered innovation and suggestions for new or different ways of working.

If a group does not have a perceived leader it could flounder when authority and decision-making are lacking. Case-in-point was Project DELTA. The people involved appeared committed but the interviews suggested that no one felt like the leader or took the leadership position. This dynamic created something like a rudderless ship.

COLLABORATION DIMENSION: RESPONSIBILITIES AND STRUCTURE

Results suggest a jointly developed structure is essential for collaboration and necessary to accomplish the outcome associated with a vision whether it is shared or not

shared. This was illustrated in Project ALPHA. The governance committee was meeting before the project officially began – spending evenings and weekends working on creating this vision. There was a lot of enthusiasm and commitment. An organizational structure was also created by the governance committee to include in the original application for funding. Roles and responsibilities seemed to be overlapping and unclear. This led to confusion regarding authority and decision-making protocol. The problem created by the lack of clarity quickly surfaced when decisions needed to be made regarding action and funding allocations. The administering agency, which assumed authority, proposed and instituted changes to the original organizational structure, but these changes were never accepted or recognized by the governance committee, even with outside assistance.

This need for a jointly developed organizational structure with clearly defined roles and responsibilities was again illustrated by the work of Project GAMMA. This project had the most defined and elaborate organizational chart of the four projects that clearly illustrated the integrated work between the various committees. It had all layers of the management team for the administering agency represented on each committee. Care was taken to have a governance committee as well as an interagency staff committee. This was to insure policy maker involvement and then subsequently the staff to carry out the work. The project staff contracted with a consultant to assist the two major committees in defining their roles and responsibilities. The consultant also worked with the committees in developing a means for decision-making and conflict resolution. There were two positive outcomes to this structure. First, people were well informed regarding the work of the project, internally and externally. Secondly, an idea for innovative and progressive legislation was born from bringing together very intelligent people from the administering agency.

There was a downside for collaboration though. This project had a very talented coordinator whose personal sense of responsibility led her to do a lot of the committee work. The administering agency staff did more work than with the governance committee. Interviews suggested that the people involved in the two committees, governance and interagency staff, were uncertain of the distinction between the roles and responsibilities between the two committees as well as staff, and thus, less invested in the results.

Those projects that invested the greatest amount of time in establishing their structure at the beginning of their project were the most successful. They clearly defined roles and responsibilities of committees and committee members. As demonstrated by Project BETA, one of their first activities was the appointment of two co-chairs (a community and governmental representative). They did not vote unless there was a tie and they discussed the issue before they voted together. They also developed a Logistics Committee that had a representative from the primary agencies that managed day-to-day operations. There were community meetings to provide updates regarding the work of the project, to listen to neighborhood concerns, and to report back to the community the results of the governmental agencies efforts to address problems. The documents and interviews confirmed the clarity between and among members.

Those that don't have a clear roles and organizational structure will struggle. Project DELTA illustrated this. They struggled with these issues for most of the life of this initiative. Project DELTA's organizational structure took many forms. They tried several models and ended with one similar to Project BETA. They hired a community-organizing agency to be overall coordinator of the project. The coordinator for this agency was well connected with other community groups and was able to connect the work of the various entities, thus moving forward in their collaborative efforts.

COLLABORATION DIMENSION: COMMUNICATION

One would suspect that open and direct communication is important in collaborative efforts. And, this was true in all of the projects. However, as evidenced by Project ALPHA, if there is no process for resolving issues that arise out of this openness, collaboration will stall. And, if communication tends to be one-way, as evidenced in Project GAMMA, then a joint ownership of the project may not occur. This is not meant as a criticism. It appears to be fallout of an extremely competent staff person who was committed to making sure everyone received enough information and all the information.

Projects BETA and DELTA have flexible and varied channels for communication. Project BETA's is the most developed and utilized a lot of existing channels to distribute and receive communication from a variety of sources. It is believed this will occur for Project DELTA as it solidifies its organizational structure.

COLLABORATION DIMENSION: RELATIONSHIPS

Relationships take time to develop but relationships prior to the collaborative project do not appear to have a significant effect. Members of two of the projects, ALPHA and BETA, had long pre-existing relationships with others working on the project. Two of the projects, GAMMA and DELTA, had fewer long-term relationships between their members. This, in itself, did not seem to affect the results of their ability to collaborate.

Projects ALPHA and BETA had people on their committees who had lived all their lives in those communities and have roots going back for generations so change is slow. In addition, during the interviews for both projects, people said "it takes a long time to be seen as a member of the community." One of the people interviewed said she had lived in the neighborhood 17 years and was still considered a newcomer. Even with this similarity in context, Projects ALPHA and BETA ended with very different relationships among its members.

Successful collaboration seemed to come down to the ability or inability to address and resolve conflict. Project ALPHA could not move beyond the conflict created by the misunderstanding or disagreement regarding authority for the project. The feelings were so strong around this issue that two people refused to be interviewed for this project. 7 of the 11 who were interviewed said they would not do it again. Project BETA spent approximately 2 years working through conflict. Many of the members credited the facilitation and leadership skills of the community co-chair for their ability to come to resolution.

Projects GAMMA and DELTA did not share the long-standing relationships of the other two projects. While some of the members were familiar with each other the committees had the opportunity to forge new relationships. This seemed dependent partly on the communication that occurred between members. While both governance committees were respectful in their interactions with each other, Project DELTA was more open and direct in their communication. This surfaced conflict which was resolved successfully, thus allowing their relationships to deepen, and hence to be more collaborative.

Respect was a critical element of successful relationships across all the projects. Members of Projects BETA, GAMMA, and DELTA all spoke positively of other members and with high regard. Project ALPHA members though did not speak high of each other, though the significant conflict was between the administering agency and the community members. The key to respect was trust. Trust was established by effectively resolving conflict as evidenced by Projects BETA and DELTA. Project DELTA spent considerable time developing relationships with their committee members and others affected by their work. This effort assisted the group in overcoming an initial uproar of conflict creating a more prominent role for new and non-traditional partners on the Governance committee. Project BETA was able to address conflict and move their work forward. This was largely due to the skill set of the co-chairs of the Governance committee. The co-chairs gained respect of their respective bodies – the community and the government. One of the co-chairs had excellent facilitation skills. These were used advantageously to surface conflict and to aid resolution. This ability to address and resolve conflict deepened the relationships between the people working on Projects.

COLLABORATION DIMENSION: VISION

A single shared vision was not visible in any of the projects. One of the interview questions asked people to define the vision of the project. They were also asked to define their vision if their vision was different from the project. This allowed comparison of the answers. These results were used to determine if there was a shared vision between the

governance committee members. The coding indicated that none of the projects achieved a shared vision. This, however, did not prevent Project BETA from demonstrating collaboration. After over five years of working together the governance committee was still not in total agreement regarding their intended outcome but, as a body, including the governmental agencies, modeled collaboration in and through their work.

A shared vision remains important to sustain involvement. Evidence indicates that the role of staff can affect a shared vision, and thus the involvement of others. Competent, prolific staff can produce the work for a project, but at what cost? As evidenced in Project GAMMA, the perception of a shared vision was distorted between the documents and the interview responses. The mean score for the documents was 2.8 and 1.2 for the interviews. The review of the documents led to an assessment that this project was completely integrated into the criminal justice system within that jurisdiction. This was debatable after the governance committee members were interviewed. As stated previously, the vision belonged to the lead agency. This suggests the importance of insuring the vision, if not developed together, is discussed with all the involved parties. This would serve to surface differences in perception regarding the vision of the project. If one person or a subset of the group develops it, it remains theirs and not the one of the entire partnership.

The work associated with Project ALPHA provided an interesting twist to the idea of a shared vision. They did have a shared vision, however, collaboration as defined, was not reached. From the document reviews and the interviews, it appeared the Project ALPHA governance committee spent the necessary time and effort to develop a shared vision prior to the onset of their funding. This was not enough though to keep them progressing in a collaborative manner. This would suggest that the vision statement needed to be revisited periodically to insure there is still agreement, especially as members change.

The value of a shared vision was evident in the work of Project DELTA. Originally a government agency applied for and received funding for a collaborative problem solving project with minimal involvement by all the affected parties. There was a major uproar from the community where the program was to be implemented. Even though the governmental agency had the best intentions in mind when they applied for funding, the community

believed they should have been more involved in the decision to proceed. It took several years before the people involved with this project began to develop a shared vision for their work.

SUMMARY

This chapter provided the findings and discussion for the results of four projects efforts at collaborative problem solving. As is evidenced from those results, projects implemented in similar geographical areas can have very different results based on the collaborative structure and process that is adopted and honored by the members of the governance committee.

The effect of perceived ownership on the degree of collaboration was illustrated through the vision dimension. Clearly defined roles and responsibilities were useful in assisting the work of the project to move forward. The results of this research illustrated the importance of relationships and the impact of conflict. The outcome for collaboration can be extremely positive if members commit to staying at the table until there is resolution. Also witnessed was the truly unfortunate outcome if a process is not in place to resolve conflict or if the skills necessary to do this are lacking.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

This chapter is divided into three sections:

- Conclusions
- Future Research
- Applicability to the Field

The Conclusions Section will discuss the results of the study as it relates to the question explored through this study – can the criminal justice system adopt collaboration as a way of working? More specifically, what is essential for the adoption of collaboration as a way of working on joint problem solving projects?

The Future Research Section discusses questions that were not answered or should be answered regarding the subject of collaboration. The discussion will include suggested areas for future research.

The Applicability to the Field Section is perhaps the most significant for practitioners. Discussion in this section focuses specifically on what the basic requirements should be if an individual or a group intends to enter into a collaborative problem solving venture. This will assist them in evaluating if this would be the most effective approach and if the timing and conditions are conducive for collaboration. The section also provides suggestions for monitoring the progress of collaborative problem solving projects.

CONCLUSIONS

This study examined the ability of four different problem-solving projects to adopt collaboration as a means of conducting work. The intention of the study was to discover the

conditions under which collaboration flourishes or languishes using five dimensions of collaboration as a measure.

The premise of this study was that all five dimensions needed to be present for collaboration. The five dimensions are:

- A jointly defined purpose and commitment to work as a team;
- Institution of interagency problem solving through the meshing of roles and responsibilities;
- Balance of authority and mutual responsibility;
- Establishment and maintenance of formal and informal methods for frequent and flexible communication; and
- Formation of trusting relationships by surfacing conflict, discussing it and coming to a mutually agreed upon resolution.

Four projects were examined for this study. The results suggest that collaboration can occur within the criminal justice system. One of the projects adopted collaboration as their avenue to conducting work. Two other projects employed a more coordinated approach. The fourth group concluded somewhat cooperatively, primarily because of their commitment to their community and the youth they serve.

The literature suggests that a shared vision is essential for collaboration but this was not the case for this study. Several things were learned. One, a shared vision does not mean a shared vision forever. Even if a group is fortunate enough to come together, care must be taken to insure people remain on the same path. If people don't feel included, respected, and involved, their commitment may stray or they may never become committed.

In addition, it may be impossible for committees or teams that are extremely diverse in their opinions and perceptions of their work to adopt a single vision. In the criminal justice, teams usually consist of those from a law enforcement perspective and those from a more rehabilitative perspective. These two perspectives can co-exist within a project and still achieve collaboration status if the members respect and trust each other.

One of the ways to build this trust is to work together in establishing roles and responsibilities regarding the work of the committee(s). However, the focus is usually on the programs that are funded by the project instead of exploring ways to accomplish the work. This means taking the necessary time to come to agreement regarding how the work will be accomplished is often overlooked. This lack of attention to agreed upon practices can lead to conflict and as damaging, an excuse for why things don't get done. Nothing changes which leads to frustration by those working on the project and can cause lack of enthusiasm in future efforts.

If one or two people do the work of drafting the roles and responsibilities then a facilitated discussion is necessary to insure there is an agreement by all members of the governance committee. No changes to the operating structure should occur unless all the members agree with the change.

Roles and responsibilities are often displayed graphically using a flow chart. This chart should clearly delineate the difference in purpose for each committee and the specific activities for which they are responsible. A diagram of the organizational structure can assist in illuminating overlapping roles and missing components.

Collaboration takes time and often people do not believe they have the time to invest in these types of efforts. Established relationships can encourage people to invest the time though. If relationships have not been formed prior to the beginning of the project, then care needs to be taken to establish and maintain positive working relationships that can withstand questioning authority and motives. If relationships have been established prior to the beginning of the project, then the challenge is insuring misperceptions or past experiences that had negative outcomes are revealed and resolved.

Authority is often associated with power and, because of this, the most difficult to meet the definition of collaboration – it must be shared. In an environment where those with the power get the resources, the thought of giving up some of it may seem naïve. It requires a strong and committed leader that can see the value of joining forces in addressing community safety. Usually the agency that receives the grant serves as the lead agency and,

because of this, has or is assumed to have, the ultimate authority. This assumption needs to be discussed and consensus reached regarding how authority will be shared and in what situations early in the process. The method for addressing violations of the shared authority agreement need to be in place before there is a problem.

This shift in sharing authority is more likely to occur when there is a community leader who has the respect of their community and government and the requisite facilitation skills necessary to keep all parties at the table during difficult and challenging discussions. The involvement of "community" in assuming a part of authority is a true shift in working practices and requires someone(s) who can maneuver through the shifting tides to get this done. Governments are in existence to meet the needs of the public (community). Shifting this practice to a dual relationship between the government and the community will be a challenge. The public usually voices concerns but are not necessarily an active player in the solution and Governmental agencies usually listen to the public concerns and attempt to solve the problems. The combination of a well-respected and facilitative community leader coupled with a confident governmental leader who is not adverse to risk-taking is required to meet the authority dimension of collaboration.

The framework for collaborative efforts falls on the communication skills of those involved with the project. Open and direct communication is an important dimension for collaboration. Miscommunication can occur in positive and established relationships. The chance for error increases with diverse groups or in conflict situations. As with authority, a person with facilitation skills is extremely valuable in establishing open and direct communication so conflict can be surfaced and resolved without the project being diverted from its goals.

The results also suggest that all five dimensions do not need to be present for collaboration. This study did find:

- A shared vision is important but not a prerequisite to collaboration;
- Jointly developed structure and responsibilities are essential for collaboration;
- Relationships are important but trust is the key;

- Shared authority and decision-making are a requirement for collaboration; and
- Open and direct communication is important but requires a means to facilitate and manage issues which surface as a result.

FUTURE RESEARCH

It was advantageous to select two projects in each jurisdiction, especially since each was implemented during the same time period. This meant the projects would be affected similarly by contextual factors such as politics, economics, and social conditions. All four projects received funding from the federal government for over four years with sufficient funding to reduce resources as a barrier. The two jurisdictions shared similar demographics. Yet, the study only involved two jurisdictions and four projects. Additional research that focuses specifically on collaboration would add to the validity and reliability of the findings in this study. In addition, the studies could explore the impact of personalities on the success or failure of a collaborative problem solving effort.

A very important question that needs to be answered: Is collaboration more appropriate for some types of work over others? Collaboration requires a significant investment of time and talent. It is incumbent upon those responsible to the public to make decisions that produce the best results at the lowest cost.

Funding is often contingent on evidence of collaborative relationships. But how does one know if the individuals or jurisdictions applying for funding are or have developed a collaborative approach to conducting work. Collaboration takes time and, as evidenced in this study, can have some detrimental consequences. So we find ourselves asking "Is forcing collaboration an inefficient use of money though, before we know the value of collaboration over other, less comprehensive and complex approaches?

Shared authority is a dimension of collaboration and an example of the complexity of this work. It was found to be required for collaboration in this study and other research cited in the literature review. Sharing authority is directly linked to power – real and perceived – by those involved with a collaborative effort. Power dynamics are usually

acknowledged but rarely studied. And yet, it can be a pivotal dynamic in a group's ability to collaborate. Power differential in a group is rarely discussed during the meeting but often is the reason for 'status quo' situations. If some have more power – real or perceived – within a group – it makes an uneven playing field. It would be useful to surface situations where power distribution has been openly discussed and reviewed in terms of how to best incorporate the sharing of power (authority) within a joint problem solving project. Work has been done in building community capacity to collaborate. Research is now needed in the capacity for governmental agencies to share power and authority so collaboration can have more chances to be successful.

As with power, another area that needs additional research is conflict and conflict resolution from a group perspective. There are instruments that measure individual conflict resolution styles but there isn't as much about how, once people know their style, work with others of like or different styles. As mentioned during the literature review, McCloskey believes that as relationships build, conflict is avoided because people do not want to disrupt the equilibrium. It could be interesting to study the outcome of those groups who have a commitment and process for addressing and resolving conflict compared to those who do not have one with the outcome of their efforts. It would be interesting to use the individual conflict resolution styles of the members as a variable in the analysis.

The results of this study leads to recommending the exploration of successful examples of incorporating a collaborative approach into agency's organizational structure. As was discussed in the introduction, change within an organization is as difficult as change between interagency problem solving groups. This is important because usually the people working within organizations are more likely to remain in their current positions than the people in leadership positions. This means that the institutionalization of collaboration as a way of working is contingent on it being accepted by the agency staff. Determining how this has been or could be done would be very useful to all organizations.

APPLICABILITY TO THE FIELD

There has been a call for collaboration within the criminal justice system. Some believe it is necessary since government is inefficient. They believe there is a duplication of services and a lack of accountability. Others call for collaboration because they believe in a continuum of responses to crime that can only be achieved by a response that blurs lines of authority and responsibility and insures the best use of resources and the most promising practices. The first question that needs to be answered by those considering this alternate way of working is "what is collaboration and how is it different from what we are currently doing?" The word collaboration is overused and misused. Work could proceed more productively if time is taken to insure a shared definition, thus reducing the chance for confusion at a later date.

The second question is "what will we get out of adopting collaboration as a way of working on joint problem solving projects? People can then decide if they would rather retain the existing way of working, usually a coordinated response - one that reduces duplication or gaps in responses by sharing information in a more formal manner. Or they can decide it is time to "think outside the box" and try a new approach - one that is more time consuming and labor intensive but is believed to produce greater results.

Collaboration takes time. Two questions that has to be answered are "do you and your group want to invest the necessary time to establish an ongoing collaborative approach to problem solving? Would the expected outcomes be enough to satisfy your investment of time and talents? This will also insure all are aware of the possibilities and the challenges to collaboration.

This study found that effort is required at the beginning of a project to clarify roles and responsibilities, design the organizational structure for the work, and address and determine the areas of shared authority and design a process for shared decision-making. It would be useful for the group to understand the concept of consensus building and how it differs from the traditional democratic process of voting.

These tasks can be more easily accomplished if there is a respected leader and a person with facilitation skills. This may need to be two separate people if the leader for the project does not have the necessary facilitation skills. Facilitation is used to surface any conflicts and, as importantly, to assist the group in moving toward resolution.

It is recommended that each group develop a set of questions that would inform them of the degree to which they are collaborating in each of the five dimension areas and insure each person answers these questions periodically throughout the life of the project. This affords the group an opportunity to monitor their progress, to make adjustments where necessary, and to insure they do not fall back into past practices.

It was evident in all the projects that co-chairs seem to be effective when non-traditional partners are involved. One chair represents the governmental agencies and one chair represents the non-traditional partners, such as community members. This also requires assurance that the co-chairs have an agreed upon protocol for managing the group and their participation in decision-making.

Another position that was mentioned often during this study and in a review of the literature was the coordinator position. This person, with the right set of skills, can aid the project in moving forward in collaborative manner. They are not part of the group but the one that functions as the gatekeeper for work and process.

Collaboration is a process; a way of working that may not be appropriate in all situations. Collaboration, with the assistance of facilitation, though, is a way of working to insure all ideas and opinions are surfaced, addressed, and evaluated in terms of what is best for a joint problem solving project, not just the individual agency. And it is a way of breaking free of traditional ways of working. The challenge remains though that this requires "change."

In summary, collaboration requires groups to clearly and honestly identify the type of approach they want to use in conducting their work. This will reduce frustration with 'process' if the parties do not want to collaborate. It will also provide the opportunity for

the group to practice being open and direct in their interactions with others and to work through conflict to resolution – thus allowing them to proceed together collectively in solving a complex social issue - crime.

APPENDIX A

FEDERAL INITIATIVES

Federal Agency	Initiative	Principles/Purpose
Bureau of Justice Assistance (BJA)	Weed and Seed	<ul style="list-style-type: none"> Launched as a comprehensive, coordinated effort to control crime Improve the quality of life in a targeted high-crime neighborhoods
BJA	Comprehensive Community Programs	<ul style="list-style-type: none"> Partnership and collaboration Shared problem identification and problem solving Commitment to change how public safety works
NIJ	Strategic Approaches to Community Safety Initiatives (SACSI)	<ul style="list-style-type: none"> Formation of an interagency working group Enhancement of a research and technology infrastructure Use of a defined set of problem-solving process steps Transfer of what has been learned from the project to additional sites
NIJ	Community Mapping, Planning and Analysis for Safety Strategies (COMPASS)	<ul style="list-style-type: none"> A collaborative policy group spanning a broad array of agencies and community interests A comprehensive citywide data infrastructure Strategic analysis of data both spatially and temporally to identify and target problems A research partner to support development, analyze data, and provide feedback
NIJ and Corrections Program Office (CPO)	Law Enforcement/Corrections Partnerships	<ul style="list-style-type: none"> Partnership and Collaboration Shared problem identification and problem solving efforts
OJJDP	Comprehensive Approach to Working with Serious, Violent, and Chronic Offenders Reentry Initiative	<ul style="list-style-type: none"> Protect and prepare Control and restore Sustain and support
BJA	Community Prosecution	<ul style="list-style-type: none"> A partnership that emphasizes community and resident participation Mechanism for collaborative problem solving with the community A proactive approach linked to other efforts
Department of Education (DOE), COP, SAMHSA	Safe Schools/Healthy Students Initiative	<ul style="list-style-type: none"> Implement and enhance comprehensive community-wide strategies for creating safe and drug-free schools Promoting childhood development
Office of Justice Programs (OJP) and CPO SAMHSA	Sex Offender Planning and Implementation	<ul style="list-style-type: none"> Develop and implement a comprehensive, systemic approach to manage sex offenders in the community
	Youth Violence Prevention: Community Coalition Development	<ul style="list-style-type: none"> Promote community-wide understanding of youth problem behaviors and approaches to preventing violence and abuse Creating opportunities for coordinating activities and services for youth Planning, obtaining and sustaining necessary resources

APPENDIX B

Date

Name

Address

City

Dear

RE: Measuring Collaboration Research Project

The National Institute of Justice (NIJ) has funded a study to examine the degree of change attributed to collaborative problem solving and shared decision-making efforts in a local setting. I am conducting this study in my role as a Visiting Fellow with NIJ and as a graduate student in the Department of Planning, Public Policy and Management at the University of Oregon.

Collaboration is defined as "a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals. Your project entitled "_____ " was selected for this study, along with three other similar types of projects across the United States. Through this research, I intend to explore the effects of collaboration on the way business is conducted. Collaborating with others takes time and resources. As resources are more constrained than ever, it is important to examine the costs and benefits of collaboration.

Thank you for agreeing to be a participant in this study and allowing me to interview you. The interview will require approximately 1-½ hours of your time. I am writing to request your assistance as a participant in this study. Participation is voluntary. You will be assigned an identification number that will appear on any forms or questionnaires that you complete. No person or site will be identified in the study. You will also have the opportunity to review any drafts of reports or publications that include information gathered from visiting your site.

Attached is a consent form that gives a brief description of the project, what you would be asked to do, and a request for you to be a participant in the study. I will pick up the signed copy during your interview on _____. Please let me know if you would like additional information.

Thank you for taking the time to meet with me. If you have any questions, please feel free to contact me. I can be reached at 202-353-1860 or 541-953-1841. My email is downingm@usdoj.ojp.gov or MyraWDowning@aol.com.

Respectfully,

Myra Wall Downing
Visiting Fellow
Graduate Student

Consent Form: Measuring Collaboration Research Project
Myra W. Downing, Visiting Fellow, National Institute of Justice
And graduate student, University of Oregon

Purpose and Description of Research: The purpose of this study is an exploration of the degree of change attributed to collaborative problem solving and shared decision-making efforts in a local setting. Collaboration is defined as a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals. This study will examine the factors and conditions that affected the partnership and institutionalization of the new relationship. The research will focus on five specific areas:

1. Vision
2. Relationships
3. Responsibilities and Structure
4. Communication and
5. Authority and Accountability

Case studies will be completed for four projects across the United States to assess what factors and/or conditions contribute to successful collaboration.

Confidentiality of Participants' Information. Participants will be asked to fill out two questionnaires and be interviewed by the Principal Investigator. All responses to surveys and interviews will be kept anonymous and treated as group data only. No names or other identifying information will appear on the written material. Locations will be described using terms such as "a small midwestern city" or "a large urban area." Participants will have the opportunity to review any material before it is published with conflicting opinions noted in the final report.

Risks and Benefits. There are no known risks to participants. Participation is completely voluntary. Participants may refuse to participate in the study, or withdraw from the study at any point.

Contact Information. Questions and further information about the research may be obtained by contacting: Myra Wall Downing, Visiting Fellow, National Institute of Justice, 810 7th Street, NW, Washington DC, 20001. The telephone number is 202-353-1860 or 541-953-8141. The email address is downingm@usdoj.ojp.gov or MyraWDowning@aol.com. Dr. Richard Margerum, the faculty advisor for this project, can also be contacted. His telephone number is 541-346-2526 and his email is rdm@uoregon.edu.

Consent Form Signature (Required for Participation)

I have read the above description and voluntarily agree to participate in the Measuring Collaboration Research Project.

 Name

 Project Title

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